# Narratological Perspectives on Premodern Japanese Literature

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Abstract: This special issue comprises eight studies that deal with Japanese narratives from the tenth to the fifteenth century, including theater and painting, from a narratological point of view, revolving around discourse, character, and time. While narratology provides useful tools for analysis, some theories need to be revised in order to apply to Japanese texts. The papers in this volume contain several such proposals, but their focus lies first and foremost on examining characteristics of premodern Japanese narrative, which—compared to Western (medieval) literature—stands out through its elusive qualities. The special issue is equally aimed at an audience with a background in Japanese Studies and at scholars who take an interest in diachronic and intercultural narratology.

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# Narratological Perspectives on Premodern Japanese Literature

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Painting used on the cover taken from: 'Genji kokagami' (17th c.), vol. 1, Munich, Bayerische Staatsbibliothek, Cod.jap. 14(1, fol. 17v. For further details on the scene depicted, see the contribution by Midorikawa Machiko in this volume.

## Contents

*Sebastian Balmes*

# Discourse, Character, and Time in Premodern Japanese Narrative

## An Introduction

Narratology, which has its beginnings in Russian Formalism and was mainly developed from the second half of the 1960s on by structuralists such as Tzvetan Todorov and Gérard Genette, before focusing on broader cultural contexts since the second half of the 1980s, has become a central field of research within literary studies. While it has even spurred much interest among scholars of premodern literary traditions (for a comprehensive overview, see von Contzen/Tilg 2019), narratological research of texts written in non-European languages remains scarce.

In Japan, starting in the 1970s there have been attempts to use Western narratological theory in studies of *monogatari* 物語 tales from the Heian period (794–1185) (see the article by Jinno Hidenori in this volume, see also Yoda 2004, pp. 147–148), most notably in the work of Mitani Kuniaki[1] (e.g. 2002). In tales such as 'Genji monogatari' 源氏物語 ('The Tale of Genji'), written in the early eleventh century by the court lady Murasaki Shikibu 紫式部, it can be difficult to discern whether a certain text segment is spoken by the narrator or a character in the story. Since issues of speech and thought representation were already taken up

in medieval commentaries on 'The Tale of Genji,' narratology seemed to be concerned with similar questions and Mitani, therefore, considered his so-called 'discourse analysis' (*gensetsu bunseki* 言説分析) a fusion of the two, although he does not directly refer to structuralist narratology but rather to authors such as Émile Benveniste, Roland Barthes, and Mikhail Bakhtin (ibid., pp. 15–16).[2]

However, scholars like Mitani failed to apply a systematic approach and to explore ramifications in regard to a general theory of narrative. This is connected to the fact that, even after Japanese translations of narratological 'classics' such as Genette's 'Narrative Discourse' appeared in the second half of the 1980s and the first of the 1990s,[3] these theories were seldom noticed by *monogatari* scholars.[4] Eventually, interest in the textual and linguistic approaches proposed by Mitani and others seems to have somewhat declined, and since the beginning of the twenty-first century scholarship on 'The Tale of Genji' is mainly preoccupied with textual variants and reception history (Hijikata/Jinno 2017, p. 111). At the same time, outside of Japan there has been research on premodern Japanese texts that is more closely concerned with specific narratological models, such as the papers published in Steineck/Müller 2009 or in Moretti 2009 (for a brief overview of narratological work in Japanese Studies, see Balmes 2019a).[5] Yet, there have been few attempts to extend the subject of study beyond individual texts.

The aim of this special issue is to examine a few categories central to narratological theory with regard to premodern Japanese literature: discourse, character, and time. This is not to question the relevance of any of these categories in textual analysis, but by reconsidering the supposedly universal nature, less of these categories themselves but of concepts connected to them, it is possible to elucidate characteristics of classical, i.e. Heian-period, and medieval Japanese narrative. The present volume is thus addressing not only specialists in Japanese language, literature, and

culture but also an audience that takes an interest in narrative theory, including medievalists focusing on other cultures.

Arguably most striking are the elusive qualities of premodern Japanese texts that figure on several levels of narrative. The papers in this volume span a wide range of narratives from the tenth to the fifteenth century, including noh plays and paintings, although 'The Tale of Genji,' unchallenged in its significance within Japanese literary history, is a recurring theme. The purpose of this introduction is to reveal theoretical connections between the individual papers, add some theoretical observations, and present a few conclusions with regard to discourse, character, and time.

In narratological terminology, discourse designates the narrative in its verbalized/textual form, as opposed to the narrated content, i.e. the story.[6] We may thus expect that characteristics of Japanese narrative that are connected to the Japanese language are to be found in discourse. In the first contribution to this volume, Jinno Hidenori focuses on the discourse of *monogatari* tales up to 'The Tale of Genji,' especially concerning the concept of grammatical person, which has been vital to many narratological models. By discussing examples from classical texts, he demonstrates that grammatical person is not a category that is of much use when analyzing Heian-period literature. At the same time, Jinno illustrates how grammatical person, or rather its absence, is inseparably linked to the representation of characters, i.e. the 'persons' that are real within the boundaries of the narrated world, as there are many instances in which the contours of characters seem unclear.

Since narrative strategies that serve to leave characters indistinct increase until the time of 'The Tale of Genji,' they are not a mere by-product of classical Japanese grammar but seem to have been employed intentionally, Jinno argues. The close relationship between prose and poetry in Japanese literature also indicates that a certain degree of ambiguity or

indeterminacy could be put to use quite intentionally (Balmes 2019a, p. 319). In Japanese scholarship, cases in which the perspective or voice of a character and the narrator appear to overlap are often described as a 'unification' (*ittai-ka* 一体化) of the two. However, this expression is quite imprecise and trivializes literary techniques since it conflates two separate entities (narrator and character), disregards the fact that the perspective of a character can only be represented within the perspective of the narrator (see Zeman 2016, pp. 28–32; Igl 2018, pp. 134–135), and ignores the distinction of perspective and voice (although it can admittedly be a tricky one). Jinno proposes to speak of intersubjectivity instead. He argues that characteristics of Japanese facilitated the gradual development of forms of intersubjectivity that also include the narrator and readers respectively.

In my own paper, I approach discourse while following Genette's categories 'voice' and 'mood,' the latter being subdivided into 'distance' and 'perspective.' Although several aspects of Genette's theory can be criticized, it still provides a useful framework that is employed frequently, e.g. in the introduction to narrative theory by Martínez and Scheffel (2016 [1999]) that is very often quoted in German-speaking scholarship and has also been translated into Japanese (2006). Subdivisions of the longest chapter on the 'How' (*ika ni* いかに) of narration include, among 'time' (*jikan* 時間), 'mood' (*johō* 叙法) and 'voice' (*tai* 態).

By discussing the use of 'pronouns,' I question the usefulness of grammatical person as a category in the analysis of classical and medieval Japanese texts, taking up Jinno's argument. But whereas Jinno is mainly concerned with the implications regarding character in *monogatari* literature, i.e. with the third person, I focus on narrative voice and, therefore, on the first person. Narrators in *monogatari* tales refer much less directly to themselves than the narrators in medieval European literature, however, this does not mean that their presence is not marked within the texts. Rather, their presence can be almost always detected, although it is comparably weak and is mostly lost when texts are translated into European

languages. This 'presence' of the narrator may also be called perspective (that this is not reflected in Genette's theory is probably its greatest flaw). Therefore, the perspective of a character is similarly marked by verbal suffixes, honorifics, etc. Techniques foregrounding the perspective of a certain character are easily comprehended in the original texts but difficult to translate. On the other hand, in Japanese it can be particularly difficult, if not impossible, to distinguish between perspective and voice. Although this may have facilitated the assumption of a plurality of narrators in 'The Tale of Genji,' it can be shown that an important part of this theory results from a lack of distinction between voice and knowledge. The latter pertains to perspective, but can be clearly differentiated from voice.

Narrative distance, as defined by Genette, is mostly discussed in the context of speech representation. However, textual analyses show that such a concept is hardly tenable with regard to premodern Japanese literature. I therefore propose to define distance only by the second criterion identified by Genette, i.e. narrative speed, which relates to the degree of detail in a given text segment. This definition also has the advantage that, in contrast to definitions centered on narratorial presence, distance cannot be regarded as a mere subset of perspective.

Takeuchi Akiko turns to noh theater, a most complex object for narratological studies, since the physical speaker, marked by the 'tag clause' of the actor that embodies them on stage, is not always identical to the speaker in the narratological sense. In noh, actors speak not only the words of the characters they play but also short narrative parts, and in addition, the choir chants not only narrative parts but also characters' speeches. This gives rise to situations in which it is not clear who the speaker in the narratological sense is. Historically, this kind of "'narrated' drama" (Takeuchi 2008, p. 4) can be traced back to the development of noh, resulting from monks' sermons that were performed in increasingly entertaining ways (ibid., pp. 7–8, 13–14). While my article has shown that

in many premodern Japanese texts the narrator cannot be clearly described as either homodiegetic or heterodiegetic (being neither fully part of the narrated world nor completely outside of it), Takeuchi focuses on cases in which it is not possible to make a sharp distinction between narrator and character—somewhat similar to the passage from the 'Genji' chapter 'Hashihime' 橋姫 ('The Maiden of the Bridge') scrutinized by Jinno, but much more conspicuous since the 'tag clause' embodied by the actor is rendered irrelevant. Takeuchi discusses these kind of ambiguities with remarkable clarity. Furthermore, her analysis of the discourse of Zeami's 世阿弥 (1363?–1443?) god plays (*kami nō* 神能) and warrior plays (*shura nō* 修羅能) does not restrict itself to theoretical observations. She convincingly demonstrates how these narrative techniques are linked to the social and religious functions of the plays, which were defined as they are through Zeami's reformation of noh theater, accommodating to the tastes of his warrior patrons.

While the three types (epic, lyric, dramatic) by which texts have been traditionally categorized in Western literary studies have been challenged by modern "hybrid and cross-over discursive forms" (Margolin 2011, p. 52), Takeuchi's description of the noh as 'narrated drama' has the potential to question this trinity already for medieval Japan (and it should not be forgotten that playwrights such as W. B. Yeats and Berthold Brecht were inspired by noh theater; cf. Takeuchi 2008, pp. 32–33). This recalls a theoretical proposal brought forth by Uri Margolin (2011, pp. 53–54) according to which texts are to be first categorized into two types: texts with and without a narrator who is marked explicitly.

Not only can there be no doubt that narratological theory can be applied to noh drama and achieve significant results—as is aptly demonstrated by Takeuchi. Conversely, the approach from theater semiotics she employs to distinguish two kinds of communication (onstage and stage–audience communication) might also prove useful for the analysis of non-dramatic texts. Two-fold communication (author–reader, narrator–

implied reader) is often regarded as a characteristic peculiar to narrative (epic) texts. I strongly feel that this exclusiveness has to be questioned, which is also implied in an article by Raji C. Steineck (2009) on a doctrinal text by the Zen monk Dōgen 道元 (1200–1253) when Steineck devises the category 'expositor' as a non-narrative equivalent to narrator as the speaker of the text. A distinction similar to that of onstage and stage–audience communication for 'epic' texts could be termed inter-character (to borrow an expression by Takeuchi) and character–(implied) reader communication and prove helpful for the cognitive-narratological analysis of Japanese text segments with indeterminate speech representation. What Takeuchi shows for the noh might also hold true in 'epic' texts: when the speaker is ambiguous, inter-character communication is hardly perceived; hence, the reader is more involved (in character–[implied] reader communication). At the same time, this may lead to ambiguous utterances being granted greater narrative 'authority' than clear characters' speeches. It seems worthwhile to test this hypothesis in 'epic' contexts and explore how it might affect interpretations of the texts in question.

Thus, the first three contributions to this special issue testify to the fact that narratological categories or entities (such as specific characters) may be hard to grasp within the context of premodern Japanese narratives, or may have fuzzy boundaries. Jinno rejects grammatical person, pointing to implications for the way characters are perceived; I demonstrate that not only may it be difficult, if not impossible, to differentiate between direct and indirect speech, the distinction between free direct and free indirect speech may be just as hard, which demands a reconsideration of narrative distance; and Takeuchi alerts us to the fact that the distinction of narrator and character may blur in noh theater, since the physical speaker is not necessarily identical to the speaker in the narratological sense.

After these somewhat linguistic observations, Sonja Arntzen is more concerned with literary quality, introducing us to how the literary translations through which Western readers experience Heian-period narratives come into being. Translation remains one of the core tasks of scholars of Japanese literature, and the characteristics of Japanese literature that can be elucidated by narratological methodology may sharpen the view of issues pertaining translation. Conversely, Arntzen considers herself a 'scholar-translator' (perhaps one could also speak of a 'translator-scholar'), whose scholarly work is fundamentally shaped by translation. Quoting Michael Emmerich, she defines her goal of not only checking the plausibility of theory by translation, but also forming theory. Indeed, her essay contains important hints for cognitive narratology.

As a heuristic means, Arntzen distinguishes between 'high' and 'low art' in Heian-period literature, which does not imply a value judgment but is referring to its goals and the expectations that were directed toward this literature. She defines 'low' art as event- or plot-centered, while 'high' art is more concerned with style, i.e. discourse. When translating narratives that can be identified as 'high' art, it is essential to stick as closely to the original as possible, since authors presumably put much effort into choosing their words. With 'low' art, on the other hand, its entertaining quality should be preserved as far as possible, even if that means changing or adding a few words.

One issue that is particularly relevant to cognitive narratology is the problem of how characters are conceived. In accordance with Heian-period conventions, the protagonist of the 'low' narrative 'Ochikubo monogatari' 落窪物語 ('The Tale of Lady of the Low Chamber,' late 10th c.) remains anonymous and is referred to in different ways throughout the text, neither of which corresponds to what we perceive as a personal name. Arntzen argues that this suggests a different conception of personhood, as identity appears not to be linked to a name but rather to various social relations; it would even have been considered unnatural if the nar-

rator referred to a protagonist of imperial lineage by her personal name. However, conventions of Western literature greatly differ, and Arntzen argues that, in order to preserve the entertaining quality of the narrative, a rapid plot requires characters of a more fixed nature, with names that do not change simply because a character rises in rank. This is why, although she had always preferred translations that closely adhere to the original, Arntzen decided to invent a name for the protagonist in her translation of the 'Ochikubo monogatari.' While to a certain degree such an approach banishes phenomena of indeterminateness like those analyzed by Jinno from the English translation, Arntzen feels that a name is needed "as a marker for an existence that the heroine has on her own." This all suggests that research inquiring whether, or to what degree, there is a difference regarding the ontological status of character in Western and Japanese narrative could contribute greatly to narratology.

The second half of the eight papers in this volume are concerned less with linguistic details and approach 'character' and 'time' mostly with regard to content. Notwithstanding, discourse continues to be relevant, and even though the authors refrained from giving transliterations, texts are quoted in the original (which in Japanese Studies is much less common than in other disciplines of medieval philology), alongside a translation.

After Arntzen has concluded that 'The Tale of Genji' may be interpreted as an example of a "perfect marriage of 'high' and 'low' art" and Jinno has acquainted us with its discourse—or with its quality as 'high' art as defined by Arntzen—Midorikawa Machiko analyzes how plot develops within the 'World of Indirectness' of the imperial court where the story of 'The Tale of Genji' takes place and where men and women are hardly allowed to see each other. Dealing with story and plot, Midorikawa is thus concerned with the aspects of the work that Arntzen ascribed to 'low' art. She astutely guides us through the text of 'Genji,' quoting from Royall Tyler's

translation, which she had compared in its entirety with the Japanese original before its publication (Tyler 2003, p. v).

Because of the social rule that forbade women of noble descent to be seen, scenes in which someone sees or is seen acquire special significance within the narrative and serve to build suspense. If a character is seen, this often triggers substantial plot developments. A typical situation of seeing is the secret one, where a man peeks at one or several women through a hole in a wall or fence or through curtains and blinds (*kaimami* 垣間見). At the same time, the restrictedness of visual experience increases the importance of other forms of perception, foregrounding olfactory, auditory, and haptic perception. Midorikawa introduces *kewai* けはひ as a keyword pertaining to the vagueness of characters, a classic Japanese noun primarily designating an impression of something or someone gained from non-visual senses. (We should also keep in mind that most of the characters appearing in 'The Tale of Genji' are introduced without names.) Thus, Midorikawa demonstrates that the indeterminateness of Heian-period literature is not limited to discourse but is fundamentally permeating story as well.

Apart from *kaimami* scenes, descriptions of the physical appearance of a character are extremely rare. In this sense, although the narrator of 'The Tale of Genji' is mostly presented as omniscient (see my paper in this volume) and despite frequent changes of perspective, characterization seems to be restricted by the perception (i.e., perspectives) of characters other than the one being described. This intensifies the readers' experience of this 'World of Indirectness.' Yet, one should not go so far as to assume that this kind of discourse intentionally reflects the characters' experience of the world they inhabit. This becomes clear when we look at another work of literature such as the medieval war tale 'Heike monogatari' 平家物語 ('The Tale of the Heike,' 13$^{th}$–14$^{th}$ c.), which fundamentally differs from 'Genji' in content and style. However, even in this tale depicting a completely different world, that of fighting warrior clans, only ex-

tremely few descriptions of the physical appearance of characters are provided.

As Michael Watson argues in his study on character in 'The Tale of the Heike,' descriptions of this kind are to a great deal interwoven with plot. While this may appear as a structural similarity to 'Genji,' in 'Heike' *kaimami* scenes are an exception, although some can be found within certain narrative schemes. In most cases, physical appearance is narrated implicitly by referring to (bodily) actions, armor and weapons, etc., especially before battle scenes. While 'Genji' has a remarkable psychological interest (which is why it has sometimes been considered the world's first novel), 'Heike' is an event-oriented narrative, and this difference has strong implications for character representation. Of course, the historical (factual) elements of 'Heike' also have to be taken into account. Compared to 'Genji,' the significance attributed to characters' names is striking. 'The Tale of the Heike' even contains characters' speeches called *nanori* 名乗り ('self-naming'), in which warriors introduce themselves to their enemy before battle. Another aspect that is certainly relevant to the importance of names in 'Heike' is that one purpose of its recitation was to pacify the souls of the fallen warriors (see also Takeuchi on the suffering of warriors in early noh plays). That most characters are introduced with their names also means that their boundaries, as conveyed in discourse, are much clearer than in the examples discussed by Jinno—which seems more fitting for a tale that was (in the version discussed) not read quietly but heard recited—even though 'Heike' characters are also referred to by their titles, which may change during the narrative.

By contrast, what seems hardly relevant to the medieval war tale is the psychology of characters—although there appear to be some exceptions to this rule, such as the famous 'Giō' 祇王 episode (Book One, Section Six in the Kakuichi-bon 覚一本 variant). Not only does Watson adhere to the rule not to psychologize characters in the interpretation of texts, i.e. not to ascribe feelings and emotions to them that are not conveyed in the narra-

tive (Haferland 2013, pp. 91 [9.], 106–108), he even doubts that the characters possess any psychology whatsoever. Instead, Watson argues that psychological analyses should be limited to the listeners or readers of the tale, hence arguing for a cognitive approach to narrative.

Finally, two papers are devoted to time. Although they deal with this category under different aspects, they also have some points in common. As a fundamental category of narrative (see also the beginning of Simone Müller's article), time is an integral part of many definitions of narrative, either explicitly or implicitly—the latter is the case when, for instance, a sequence of events is part of the definition since every sequence is based on temporality (see the definitions assembled in Ryan 2007, p. 23). In most cases, time is referring to the semantic level of narrative, i.e. the story (or narrated world), and Marie-Laure Ryan justifies this approach by arguing that a definition of narrative should apply to different media and to fictional as well as factual narratives and should therefore not focus on discourse or pragmatics (ibid., pp. 24–26, esp. p. 26; see also pp. 28–30 for Ryan's own definition). Of course, time is also pertinent to discourse, not only regarding the order in which events are narrated, but also because it takes a certain amount of time to narrate a story or read a text. Günther Müller (1974) is often credited with distinguishing between narrating time (*Erzählzeit*) and narrated time (*erzählte Zeit*) in a lecture read in 1946—although Boris Tomaševskij (1985, p. 226) had already distinguished between 'fabula time' (*fabul'noe vremja*) and 'narrating time' (*vremja povestvovanija*) as early as 1928—and the relationship of the two categories indicates how detailed a narrative account is, for a detailed account is also considered slow, while a summary-like one is conceived as fast (Genette 1986, p. 166). On a more fundamental level, much could be said about time in the Japanese language, especially regarding tense and aspect, but this is not the place to do so. At this point, it shall suffice to

acknowledge that time as a narratological category is hard to grasp since it is relevant to several levels of narrative.

In her study on the thirteenth-century memoir 'Utatane' うたたね ('Fitful Slumbers'), Simone Müller takes a semantic approach, yet she focuses not so much on time as a dimension of the storyworld in the sense of a virtual physical category, as on time in an immediate content-related, even thematic sense. Put differently, she is dealing less with time as a general narratological category and rather with specific, even conscious perceptions of time in premodern Japanese women's diaries, especially 'Utatane.' She employs Bakhtin's theory of the chronotope as well as Bart Keunen's model based on Bakhtin, which she modifies for 'Utatane' in a highly convincing manner. Thus, Müller's article reflects that time is inseparably linked to space (the other category that is required by even the most basic narrative, such as the theory of evolution; cf. Ryan 2007, p. 30). While the 'minor chronotopes' of 'Utatane' are mostly identified by places, as is common practice in literary studies (Keunen's model is no exception), the 'generic' or 'major chronotopes' that Müller finds in Japanese female diary literature are primarily temporal in nature: 'everyday time' and, as secondary generic chronotopes, 'loss' and 'waiting.' In these generic chronotopes, time metonymically stands for something that is either in the present, the past, or the future. That which is present in 'everyday time' is unfulfilling, while loss and waiting point to something fulfilling in the past and future respectively. Furthermore, we may conclude that because of the significance of self-contemplation (*jishō* 自照), which encompasses the present as well as the past and the future, the range of the temporal dimension in Japanese women's diaries—here understood with regard to the narrated world—is particularly great.

Employing the terminology by J.T. Fraser, Müller argues that 'Utatane' expresses a conflict of nootemporality, i.e. personal or individual time, and sociotemporality, thus voicing discontent with social structures. By analyzing the main chronotopes of the narrative Müller demonstrates that

it ends with the defeat of the protagonist, who, although reluctantly, accepts that she cannot escape social constraints. Eventually, she realizes the transience of all things—a Buddhist notion and arguably the most prominent time experience of medieval Japan. In this context, 'time' first and foremost means the temporality of existence.

After Müller's gender-narratological study, Robert F. Wittkamp chooses an inter- and transmedial approach to narrative, focusing on the 'Genji monogatari emaki' 源氏物語絵巻 ('Illustrated Handscrolls of the Tale of Genji') dating from the first half of the twelfth century. Just like modern narratology cannot ignore film (which is even reflected in narratological terms that are applied to texts, such as 'camera-eye mode'), from the point of view of medieval studies it is essential that the visual arts are taken into account (Becker/Hausmann 2018, p. 4). That being said, Wittkamp's approach differs from Müller's not only regarding the medial status of his research object. While Müller is concerned with how time is structurally semanticized throughout one complete narrative, Wittkamp deals with temporality in pictures in a more general sense, namely as a prerequisite for narrativity, taking the recipients as his starting point.

It is a commonplace that texts progress in time, whereas pictures unfold in space, as Lessing stated in his 'Laocoon' in 1766 (Lessing 1887, pp. 90–92 [chapters XV–XVI]). However, paintings may suggest the passing of time, which opens up the possibility of narrating.

> Painting, in its coexisting compositions, can use but a single moment of an action, and must therefore choose the most pregnant one [*den prägnantesten*], the one most suggestive of what has gone before and what is to follow. (Lessing 1887, p. 92; cf. Lessing 1967, p. 90 for the original German text)

On a more fundamental level, Mathias Obert (forthcoming, note 42) argues that the temporal dimension of characters is inherent in premodern East Asian painting (we have to bear in mind that characters are written in a certain stroke order).

Wittkamp introduces Japanese theories on inter- and transmedial narrative in the context of illustrated handscrolls (*emaki* 絵巻) that have been directly influenced by Western theory to only a limited extent (refer to Wittkamp 2014 for a more detailed account). He focuses on two contradicting theories on the 'Genji monogatari emaki,' which he achieves to bring together by explaining the different premises underlying the theories. Wittkamp does not commit himself to a certain degree of temporality with regard to a specific painting, but chooses a cognitive-narratological approach and takes into account the individual recipient. He argues that the temporal dimension of the painting perceived by the recipients, and therefore its narrativity, correlates with their knowledge of the original 'Tale of Genji,' since with increasing knowledge they are more likely to pick up hints at events that have "gone before" or are "to follow." Thus, it can be concluded that narrativity, in the sense that it can be compared to the quality of a verbalized narrative, is not so much inherent in the picture itself, but is rather constructed within and by the recipient. In this sense, the 'Illustrated Handscrolls of the Tale of Genji' can be truly considered transmedial narrative.

Despite the differences between Müller's and Wittkamp's approaches discussed above, parallels can be discerned as well. Wittkamp uses a theory by Sano Midori 佐野みどり that centers on vectors into the past and future fueled by memory and anticipation. These are exactly the time-related cognitive processes that are also emphasized by Müller with regard to women's diary literature, although not concerning the readers but the narrator. In diary literature, these vectors gain special significance and their range is particularly great, which is why Müller classifies them as 'secondary generic chronotopoes,' subordinate only to self-contemplation directed at everyday time. Moreover, to both Müller and Wittkamp the distinction between cyclical and linear time is relevant to some extent. The most striking parallel, however, is the close relationship of temporality and transience. In 'Utatane,' this is not only apparent by the feeling of loss

caused by memory, but also by the protagonist's eventual realization of evanescence. In the 'Illustrated Handscrolls of the Tale of Genji,' temporality is generated by images of transience, as explained by Wittkamp with regard to the illustration to the chapter 'Yomogiu' 蓬生 ('A Waste of Weeds'), and the notion of transience may even be described as the overall theme of 'The Tale of Genji' as a whole, not only extending to love but also to life itself (and even politics). While it cannot be denied that the (Buddhist) notion of evanescence permeated Japanese thought, the example of the 'Yomogiu' illustration points to the fact that time as a narratological category constituting narrativity cannot be considered independent from historically and culturally specific conceptions of time.

The starting point for this publication was a small symposium on 'Japanese Literature and Historical Narratology' at the Ludwig-Maximilians-Universität (LMU) in Munich in May 2018 where some of the papers included in this volume were presented. I would like to express my gratitude to 'Global Cultures – Connecting Worlds' (GCCW), part of the program 'IPID4all' of the German Academic Exchange Service (DAAD), for the generous funding, and to Professor Evelyn Schulz and Professor Klaus Vollmer for their help in carrying out the symposium. I would also like to thank the Bayerische Staatsbibliothek (BSB), especially Dr. Thomas Tabery, for allowing us to look at two rare manuscripts for several hours, a complete copy of 'Genji monogatari' dating from the early seventeenth century (Cod.jap. 18) and a late seventeenth-century version of the digest 'Genji kokagami' 源氏小鏡 ('Little Mirror of the Genji,' Cod.jap. 14) with lavish illustrations, and for the permission to use one of these illustrations for the cover of this special issue and in the paper by Dr. Midorikawa. I am also grateful to the contributors who did not have the opportunity to participate in the symposium but joined us for this publication.

It is our hope that the papers in this volume will prove useful not only to readers with a background in Japanese Studies but also to scholars

specializing in other literary traditions, including medievalists. 'BmE' seemed to be the ideal place for this endeavor, also with regard to open access. I would like to express my thanks to PD Dr. Anja Becker and Professor Albrecht Hausmann for the opportunity to introduce research on premodern Japanese literature to a medievalist audience and for their great care in preparing this publication.

In Japan, the medieval period (*chūsei* 中世) usually designates the period after the victory of the Minamoto 源 clan over the Taira 平 clan (or Heike 平家) at Dan-no-ura 壇ノ浦 in 1185, which is depicted in Book Eleven of 'The Tale of the Heike,' to the sixteenth century. Therefore, from a Japanese point of view many of the papers comprised in this volume do not deal with medieval literature but with texts of the classical period (*chūko* 中古), the so-called Heian period (794–1185). Nevertheless, they also may be of interest to medievalists, since they were written during a time that is considered part of the Middle Ages in Europe, and since they too considerably differ from modern forms of narrative—even though this difference is of another kind than the alterity of medieval European narrative. The latter is more easily compared to medieval Japanese texts such as 'The Tale of the Heike,' regarding style and content, but also issues of semi-orality. This is also why models such as the ones on the structure of episodes by Suzanne Fleischman and Monika Fludernik, based on William Labov, are more readily applied to 'Heike,' as demonstrated in an article by Michael Watson (2004), than to 'Genji.'

To conclude this introduction, I would like to outline some problems that might be explored in future research. While most of the narratological research on premodern Japanese literature deals with texts from the tenth to the seventeenth century, not much has been written on the narrative characteristics of the myths, semi-historical accounts, or narrative poems that were recorded in the eighth century in a language quite different from that of most works of Heian-period literature. Furthermore, very few

studies apply narratological theory to the various genres of popular prose printed in the second half of the eighteenth and in the nineteenth century that are subsumed under the label *gesaku* 戯作 ('playful compositions').

Also with regard to the categories on which this volume focuses much work remains to be done. While we have been introduced to discourse-related characteristics of Japanophone prose (*wabun* 和文), which—apart from the occasional word—was written in phonographic script (*kana* 仮名), comparisons to Sinographic prose (*kanbun* 漢文), either Chinese or Japanese put down in logographic characters, are still to be awaited. The relationship of voice and perspective also requires further investigation. Since in Japanese different types of speech representation are often not grammatically distinct, a systematic study on focalization and free indirect discourse would certainly be challenging, but also promise interesting results. Moreover, as proposed above, it is tempting to explore the ramifications of the communication model of theater semiotics for 'epic' texts.

Regarding character, the papers in this volume raise anthropological questions: how is personality or personhood constructed if the (real) person or (fictive) character in question does not have a fixed name—at least none one would be allowed to use—and cannot even be seen? A systematic study of character that is not limited to a specific text would be highly desirable. The contributions to this special issue could serve as the basis for further cognitive-narratological and anthropological research.

The papers on time suggest that time in premodern Japanese narrative, even as a narratological category, is shaped by the notion of transience. This hypothesis could be further examined by analyzing time as pertaining to various levels of narrative. Furthermore, it has become clear that temporality (or 'progressive action'; Lessing 1887, pp. 90–92) is a prerequisite for narrativity, yet narrativity should not be equated with temporality, even within the context of the visual arts. Thus, for a more comprehensive consideration of narrativity in *emaki* illustrations or pictures in general, one would have to take into account other aspects as well.

In addition, there are other categories on which we have touched but not yet discussed in detail. One of these categories is plot, which is closely related to character. It can either be argued that a specific type of plot requires certain characters, or, conversely, that a specific character (type) demands a certain type of plot. Premodern plot structures may be determined by finality or include repetition, yet just as promising are inquiries of "ruptures and lacks of coherence, contradictions, and unlikely and unreliable scenarios" (von Contzen 2014, p. 9; for the analysis of a narrative from the mid-fourteenth-century 'Shintōshū' 神道集 ['Anthology of the Way of the *Kami*'] which seems incoherent and cannot be explained by causality, see Balmes 2019b). Another basic narratological category is 'space,' which is closely intertwined with time. Therefore, space also figures in Müller's paper on chronotopes in 'Utatane,' but, needless to say, it is also a concept that deserves attention on its own.

Besides research on individual narratological concepts, diachronic analyses seem particularly promising, also regarding comparisons of Heian-period court fiction and medieval plot-oriented types of narrative—the simplistic notion of a historical 'inward turn' toward figural narration, i.e. narration dominated by the perspective of a character, does obviously not apply to Japanese literature (Balmes 2019a, p. 321). Studies from the point of view of historical narratology, i.e. inquiries into historical concepts of narrative, would be equally of interest (for this distinction between historical and diachronic narratology, see the editors' introduction in von Contzen/Tilg 2019, pp. VII–VIII).[7] The 'Mumyōzōshi' 無名草子 ('The Nameless Book,' between 1196 and 1202), a text discussing *monogatari* literature (for an introduction and translation, see Michele Marra 1984), and terms from premodern commentaries on 'The Tale of Genji,' such as *sōshiji* 草子地 and *utsurikotoba* 移り詞, immediately spring to mind,[8] but without doubt there is also much else left to explore. Finally, comparative studies would contribute greatly not only to our understanding of different literary traditions, but also of narrative in general.

## Notes

1 For Japanese names, including those of the contributors, throughout this volume the Japanese convention of giving the surname before the personal name is followed.

2 Mitani also draws on Tokieda Motoki's 時枝誠記 'language process theory' (*gengo katei setsu* 言語過程説) introduced in 1941, which defines language as fundamentally subjective and assumes that in Japanese this is particularly salient. For a critical and thorough review of Tokieda's theory and its application by scholars of Heian-period tales, see Yoda 2004, pp. 146–181.

3 Gérard Genette's 'Disours du récit,' originally published in 1972 in 'Figures III' (Paris: Éditions du Seuil, pp. 67–282), was translated into Japanese by Hanawa Hikaru 花輪光 and Izumi Ryōichi 和泉涼一 under the title 'Monogatari no disukūru' 物語のディスクール in 1985 (Tōkyō: Shoshi Kaze no bara 書肆風の薔薇). Other authors like Wayne C. Booth and Paul Ricœur followed. For an overview of narratological theory translated into Japanese, see the list of references in Prince 2015, pp. 218–242.

4 A notable exception is Fukuda Takashi's (1990) book on 'Genji monogatari,' which was published in the same series as the translations of Genette's works and books by Booth and Seymour Chatman, to name but a few. Unfortunately, Fukuda's study seems to have been barely noticed by *monogatari* scholars like Mitani. Another exception that deserves mentioning is the English-language article by Amanda Mayer Stinchecum (1980), who has a firm grasp of Japanese scholarship and also draws on the theories by Dorrit Cohn and Ann Banfield, but eventually fails to revise the Japanese theories accordingly (see my own article in this volume).

5 A thorough critical review of narratological approaches to premodern Japanese literature can be found in my doctoral thesis, 'Narratologie und vormoderne japanische Literatur. Theoretische Grundlagen, Forschungskritik und sprachlich bedingte Charakteristika japanischen Erzählens' ('Narratology and Premodern Japanese Literature. Theory, Critique of Research, and Linguistic Characteristics of Japanese Narrative'), submitted to LMU Munich in March 2019.

6 'Story' and 'discourse' are used equivalent to *histoire* and *discours*, which Tzvetan Todorov introduced as French translations of *fabula* and *sjužet* as used by Boris Tomaševskij. Todorov took the terms from the linguistic theory of Benveniste (Todorov 1966, pp. 126–127), who used them in a completely different way, referring to the objective (*histoire*) or subjective (*discours*) quality of an utterance (*énoncé*) (ibid., p. 145)—certain parallels to Tokieda's theory (see

note 2) can be detected, which may be the reason that both Benveniste and Tokieda are frequently referred to by *monogatari* scholars. There are also slight differences between French *histoire*/*discours* and Russian *fabula*/*sjužet* in narrative theory (ibid., p. 139; Schmid 2010, p. 187). Furthermore, some authors have conceived more than two narrative levels (ibid., pp. 188–193).

7 This definition by Eva von Contzen and Stefan Tilg is also the reason that the title of our symposium in 2018, 'Japanese Literature and Historical Narratology,' no longer seemed fitting as a title for this special issue.

8 I have treated these concepts in my doctoral thesis (note 5), which is to be published in the future.

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*Jinno Hidenori*

# *Monogatari* Literature of the Heian Period and Narratology

## On the Problem of Grammatical Person and Character

Translated by Jeffrey Knott

*Abstract.* From the 1970s onward, Japanese research on the *monogatari* literature of the Heian period (794–1185) saw attempts to make use of Western narratology. Most such debates, however, failed to move beyond the mere interpretation of *monogatari* stories to an analysis of their discourse. In this paper, whose chief concern is precisely such analysis of discourse itself, I examine the problem of (grammatical) 'person' within *monogatari* narratives, showing how these works share in common a tendency to leave the characters of their narratives focused (objectified) only very indistinctly. I argue furthermore that, particularly in the 'Tale of Genji,' one can observe an aspiration, buttressed by certain unique features of Japanophone prose, to realize an 'intersubjective' relationship between the characters within the story, the narrator, and the reader without.

### 1. Introduction

This article will begin by reviewing, briefly, both the history of Japanese research into the *monogatari* 物語—fictional tale—literature of the Heian period (794–1185), as well as the role played in that history by modern narratology.

From the mid-1970s onward, among Japanese scholars of *monogatari* literature there arose a movement, centered around the '*Monogatari* Research Group' (Monogatari Kenkyūkai 物語研究会, often called Monoken モノケン) to proactively study—and make use of—Western European thought, literary theory, and narratology. For their achievements in this effort one might point to examples such as (in order of birth) Mitani Kuniaki 三谷邦明, Fujii Sadakazu 藤井貞和, Takahashi Tōru 高橋亨, Kobayashi Masaaki 小林正明, Kanda Tatsumi 神田龍身, Hijikata Yōichi 土方洋一, Higashihara Nobuaki 東原伸明, and Andō Tōru 安藤徹.

Nonetheless, in Japan such research on *monogatari* literature neither attempted to systematically apply the theories of fiction which Franz K. Stanzel, Gérard Genette, and others had constructed, nor gave rise to anything that might instead vie with those theories. Their efforts were in largest part directed—imitating here Roland Barthes, Michel Foucault, Jacques Lacan, and scholars like Mikhail Bakhtin—at deriving from the texts of *monogatari* literature some kind of 'richer' meaning.

Despite a recognition of the importance of *monogatari* discourse, in other words, the chief demand was for theories that could be put to service in the analysis and interpretation of *monogatari* stories. To take only one example, while Japanese research on *monogatari* literature indeed made quite extensive use of 'narrative' (*katari* 語り) as a technical term, in most cases this led not to more discussion of 'narrative' as something to be analyzed and studied *per se*, but rather to new ways of 'reading' that paid more due attention to a work's narrative characteristics. Against this background, it has long been my personal hope that our debates might give greater prominence to the consideration of discourse itself.

At the same time, moreover, in fields of study concerned primarily with genres beyond the *monogatari*, such as *waka* 和歌 poetry or Sinographic texts (*kanshibun* 漢詩文), most Japanese scholars tended as ever to either ignore Western European thought and literary criticism, or indeed take an active dislike to it. Yet what of those *kana* 仮名-medium diaries known

collectively as 'diary literature,' with their similarities to the *monogatari* as works of prose written in the phonographic *kana* script? Here too, while there was a long-standing general recognition of the fictionality or narrativity this diary literature possessed (in contrast to, e.g., the Sino-Japanese diaries of the nobility), the majority of scholars specializing in diary literature almost never made use of literary theory or narratology. At most there were a few scholars, such as Hijikata and Higashihara, who made parallel studies of diary literature alongside their research into the *monogatari*. (In this sense the publication in Japanese of Balmes' study of the 'Tosa Diary' in 2017 was truly valuable.)

In the years since, at least from the beginning of the twenty-first century, even as the field of *monogatari* literature has seen a vigorous growth in more painstaking studies of textual manuscripts, and in studies of textual reception in all its variety, one has the impression of a correspondingly reduced role in the field for questions of thought, theory, and narratology. If, however, as a tool for studying narrative there is any universal valence to it, then narratology in particular should be brought to bear readily, it seems to me, whenever one attempts to discuss issues of 'narrating' in Heian-period *monogatari* literature. It is equally important, moreover, based on an accurate understanding of the uniqueness of Heian-period Japanese (especially *kana*-medium Japanese prose), that we try to identify those areas and issues where Western European-style narratology comes up short.

Over the years I have often written about such concepts as 'narrating' and 'writing' as they appear in the 'Tale of Genji' ('Genji monogatari' 源氏物語, early 11th c.) by Murasaki Shikibu 紫式部 (Jinno 2004; 2016a; etc.). I also had an opportunity to review the history of research into these themes, and consider in detail what seemed to be the most important articles on the subject (Jinno 2008). In what follows, however, I will mostly be unable to touch upon what I wrote then—a point on which I ask for the reader's understanding.

The question that has most occupied me recently regarding *monogatari* literature, and also (*kana*-medium) diary literature with all its *monogatari*-like elements, is that of grammatical 'person' (*ninshō* 人称). Among the list of scholars of *monogatari* literature given above, Fujii Sadakazu in particular has developed his own unique theory about grammatical person (Fujii 1997 and series of articles following). Though over the years there has been little response to Fujii's ideas on the subject, either positive or negative, in a 2016(b) article I considered them at length, criticizing Fujii's theories on the one hand, yet also arguing that grammatical person and questions related to it are indeed issues that future research on the 'Tale of Genji' will need to address. Drawing in part on this earlier article of mine, below I want to examine how character manifests itself in the *monogatari* literature of the Heian period, and in its Japanophone prose more generally. Ideally one would want to trace also its broader historical development, but here I will limit myself to the period up to the 'Tale of Genji.'

## 2. Sinographic Writing and Writing in *Kana*

At the outset we have to make note of the fact that Japanese was not written using phonographic *kana* alone, and that for a long time the Sinographic script with its mostly logographic usage was the more predominant one, and possessed the greater authority. Indeed, in their origins both *hiragana* 平仮名 and *katakana* 片仮名 were themselves derived from Chinese characters. As opposed to *kana* 仮名, moreover, whose very name conveyed the script's 'provisional' (*kari* 仮) nature, Chinese characters were known as *mana* 真名, with the implication that they represented the 'true' (*makoto* 真) script. The written language used during the Heian period by men of the imperial bureaucracy was, accordingly, primarily Sinographic.

While my investigation is not concerned with the narrative style of Sinographic prose (*kanbun* 漢文), as an example of such a text I offer here a passage from 'Gonki' 権記 ('Record of the Provisional [Major Counse-

lor]'), the diary of Fujiwara no Yukinari 藤原行成 (972–1027) and also a work roughly contemporary with the texts I focus on hereafter, like the 'Tale of Genji.' It is the beginning of an entry on the day of Empress Teishi's 中宮定子 move to the residence of Taira no Narimasa 平生昌, an event recounted in the 'Pillow Book' ('Makura no sōshi' 枕草子, ca. 1000) by Sei Shōnagon 清少納言 under the section 'To the House of the Senior Steward Narimasa' ('Daijin Narimasa ga ie ni' 大進生昌が家に). It describes how Minister of the Left (*sadaijin* 左大臣) Fujiwara no Michinaga 藤原道長 sought to hinder Empress Teishi's move by, on the morning of the very same day, leading the court's upper-ranking nobles away as a group down to Uji 宇治.

**(a) 'Gonki' 権記, Entry for Chōhō 長保 1 [999].8.9 (first half)**

九日　己未。

参内。次亦参左府。申今日中宮行啓事、可仰上卿不参之由。左府與右大将宰相中将遊覧宇治。即還参内、奏。今日行啓事、依上卿之不参非可延引。且仰外記令誡諸司、且重可遣召上卿之由有勅許。

仍且召外記為政、仰事由、且差内豎、遣召上卿之間、右兵衛府生縣富永、為藤中納言使到、大蔵卿案内。今日之召事、若重者破物忌可参云々。即余書消息。申送早可被参之由。亦参職御曹司、案内夕行啓事。

The 9th, Day of the Earth Sheep [56th of the sexagesimal cycle]

Went to court. Afterwards then went [to the residence of] the Minister of the Left. Regarding the matter of the Empress' move today, reported that no one of upper rank suitable to send [with her] had come to court. [Learned that] the Minister of the Left would be going on an excursion to Uji with the Major Captain of the Right and the Consultant Captain [two courtiers of upper rank, respectively Fujiwara no Michitsuna 藤原道綱 and Fujiwara no Tadanobu 藤原斉信]. Returned immediately to court and reported this to the Emperor. Today's move unable to be postponed [merely] on account of upper-ranking nobles being absent. The Emperor furthermore ordered that the Secretary be instructed to upbraid the various officials, and that upper-ranking nobles be sent a second summons to accompany [the Empress].

Accordingly, summoned the Secretary [Yoshishige no] Tamemasa [慶滋]為政 and explained the situation, and told a page to summon upper-ranking nobles to accompany [the Empress]. Subsequently an officer of the Right

> Military Guards, Agata no Tominaga 県富永—as messenger of the Fujiwara Middle Counselor [Fuijwara no Tokimitsu 藤原時光]—reached the Minister of the Treasury and explained the situation. Apparently [the latter] said: "If there is another summons today, I will come even if it means breaking taboo restrictions." I wrote [him] a letter immediately. Sent [him] a request to come to court in haste. Also went to the Office of the Empress' Chamber and explained about the move taking place in the evening.

Leaving aside the content of this entry, here I focus solely on the details of its narrative style, in particular the issue of grammatical person. (This in turn touches on the larger issue of a so-called 'Japanese-accented' style of Sinographic writing.) Above in passage (a) I have underlined, both in the original and in English translation, all the actions taken by Yukinari himself. Out of a full eleven actions in total, on only one occasion does Yukinari, the author of the diary, use language referring to himself directly: the word *yo* 余, here set off in a box. This *yo*, if explained with reference to the standard terminology, would be considered a pronoun, one expressing the first person.

It would seem that, in recording his own actions, except in cases where it would lead to serious confusion, the author does not use words referring to himself. While this might indeed be understood as a form of abbreviation, a feature characteristic of the text's 'diary' genre, the principle that sentences expressing one's own actions can do without explicit subject-reference is one shared not only by diary(-like) writing but by other types of discourse in modern Japanese as well, including conversation. Furthermore, this omission of 'pronouns' seems to be less common in texts that were written in China.

Having seen in this example how Heian-period male aristocrats who kept diaries in Sino-Japanese did not, as a rule, use words to reference themselves explicitly, now let us move on and at last look at the case of (*kana*-script) writing in Japanese.

## 3. Narration in the Openings of the 'Ise Stories,' the 'Tale of the Bamboo Cutter,' and Others

From here on I will compare examples from only a very small number of works of *monogatari* and diary literature, but to approximate something like a method of fixed-point observation, I will look at each work's opening sentence. For while not usually the case in works of the later Heian period, one does find among works of the early and middle Heian period—i.e. in *monogatari* literature up to the 'Tale of Genji' and other related works—a particular shared pattern, wherein the opening will introduce either the story's main character or other characters closely connected to him. Through comparison of these various works' opening sentences, in other words, one is able to discern a certain method of character introduction they have in common.

First I will look at the narrative style of works of (fictional) *monogatari* literature that arose in the early Heian period, prior to the 'Tale of Genji.' Of fictional tales (*tsukuri-monogatari* つくり物語) in the traditional sense of that word only three examples remain to us:

**(b) Early *Monogatari* Literature, Examples of Chapter Openings:**

(i) 'The Tale of the Bamboo Cutter' ('Taketori monogatari' 竹取物語, early 10th c.)

いまはむかし、竹取の翁といふものありけり。野山にまじりて竹を取りつつ、よろづのことに使ひけり。

*Ima wa mukashi, taketori no okina to iu mono arikeri. Noyama ni majirite take o toritsutsu, yorozu no koto ni tsukaikeri.*

Once upon a time, there was an old bamboo cutter who went into the mountains and fields, cut bamboo, and put the stalks to all kinds of uses. (Trans. McCullough, p. 28)

(ii) 'The Tale of Ochikubo' ('Ochikubo monogatari' 落窪物語, late 10th c.), Vol. 1

いまはむかし、中納言なる人の、女あまた持給へる、おはしき。

*Ima wa mukashi, chūnagon naru hito no, musume amata mo-tamaeru, owashiki.*

> Once upon a time, there was a man who was Middle Counselor, and had many daughters.

(iii) 'The Tale of the Hollow Tree' ('Utsuho monogatari' うつほ物語, late 10th c.), 'The Fuijwara Prince' 藤原の君

> むかし、藤原の君と聞こゆる、一世の源氏おはしましけり。
>
> *Mukashi, Fujiwara no kimi to kikoyuru, isse no Genji owashimashikeri.*
>
> Once, there was a first-generation Genji, who was known as the 'Fujiwara Prince.'

In the opening of the 'Tale of the Bamboo Cutter' (b)(i) we can see how clearly the sentence's subject, which I have underlined above, is introduced to us: as "an old bamboo cutter" (*taketori no okina to iu mono*). In the sentence following, however, which I have also quoted ("who went into the mountains and fields [...]," *noyama ni...*), the subject is no more to be seen. Undoubtedly it was obvious that the subject specified (and here underlined) in the first sentence was continuing to function as such in the second. Omission of the subject in this manner, touched on in discussing the previous example (a), is also a characteristic of modern Japanese writing. Indeed, repeated explicit reference across sentences to a persistent subject is by far the exception, tending even to strike the reader as unnatural. As a feature of writing in Japanese this would seem to be permanent. Looking further at the opening to volume 1 of the 'Tale of Ochikubo' (b)(ii), while here the appositional use of the particle *no* might give it a somewhat irregular cast, the 'man who was Middle Counselor' (*chūnagon naru hito*) is nonetheless just as clearly specified. Likewise with the example from the 'Tale of the Hollow Tree' (b)(iii), which I took not from the work's initial chapter 'Toshikage' 俊蔭, but from the opening of 'The Fujiwara Prince' ('Fujiwara no kimi' 藤原の君), the subsequent chapter that signals the beginning of a new story: in the phrase here underlined, we again find the sentence's subject. The opening sentence of 'Toshikage' is similarly clear—that I did not quote it is simply because the figure referred to is not the protagonist.

What about the case then of the 'Ise Stories' ('Ise monogatari' 伊勢物語, 10th c.), a work usually distinguished from (fictional) *monogatari* literature under the name of *uta-monogatari* 歌物語, or 'poem-tale'? (Here I will not delve into the problems with 'poem-tale' as a genre designation.) Given its structure as a collection of many relatively short episodes, I will give three examples:

**(c) 'The Ise Stories,' Examples of Episode Openings:**

(i) むかし、男ありけり。(Ep. 2 and many others)

*Mukashi, otoko arikeri.*

Back then there was this man.

(ii) むかし、男、武蔵の国までまどひありきけり。(Ep. 10)

*Mukashi, otoko, Musashi no kuni made madoi-arikikeri.*

Back then this man wandered on to the province of Musashi, [...]

(iii) むかし、紀有常といふ人ありけり。(Ep. 16)

*Mukashi, Ki no Aritsune to iu hito arikeri.*

Back then there was a man named Ki no Aritsune. (Trans. Mostow/Tyler, pp. 17, 40, 50)

Among these three, (c)(i) is both the most commonly found opening in the 'Ise Stories,' and also the simplest. The subject is some 'man' (*otoko*), who seems to be modelled on someone who seems to have been Ariwara no Narihira 在原業平 (825–880). There are also openings like (c)(ii) that instead of such a 'there was' (*arikeri*) recount rather the actions of the 'man,' as well as cases like (c)(iii) that begin by introducing someone else besides this Narihira-type 'man.' Yet whether the subject is the 'man' or "a man named Ki no Aritsune," in either case the figure in focus is made perfectly clear.

Though for both fictional *monogatari* as well as for 'poem-tales,' the number of works extant from the time before the 'Tale of Genji' is extremely limited, their openings—as seen above in examples (b) and (c)—

share this pattern of introducing a single figure in sharp relief. The words here underlined that reference these various figures are explicitly provided by the narrator. At the same time, however, in the texts of these works one finds no words to reference the figure of the narrator himself. As such, the majority of scholars seem to have understood the narration of these works as being conducted in the third person.

Yet can works like those exampled in (b) or in (c) truly be called 'stories in the third person'? In the history of Japanese writing, was not the third person, after all, rather a 'discovery' (Noguchi 1994), and one made in an age far later than the Heian period? I cannot shake the impression that the use to date of terms like 'first person' and 'third person' in scholarship on Heian-period literature has been far too simplistic.

## 4. Narration in the Opening of the 'Gossamer Journal,' Vol. 1

When considering the problem of grammatical person in Japanophone writing, a valuable source of hints is surely to be found in works of diary literature such as the 'Gossamer Journal' ('Kagerō no nikki' かげろふの日記, ca. 974) or the 'Sarashina Diary' ('Sarashina nikki' 更級日記, ca. 1060). The majority of Japanese scholars seem to view such diary works as 'literature of the first person,' yet there are in fact reasons to doubt this. Though it is a problem I have discussed elsewhere (Jinno 2016b), here below I take up the example of the opening to the first volume of the 'Gossamer Journal,' reviewing previous debates and stating my own conclusions. If we take this work, (seemingly) the record of the life of its author, Fujiwara no Michitsuna's Mother 藤原道綱母 (936?–995), to be 'literature of the first person,' how do we explain the expression *hito* 人, or 'person' (per McCullough: "woman"), as underlined in the example (d) below?

**(d) 'The Gossamer Journal,' Vol. 1: Opening**

> かくありし時すぎて、世の中にいとものはかなく、とにもかくにもつかで世にふる人ありけり。
>
> *Kaku arishi toki sugite, yo no naka ni ito mono-hakanaku, to ni mo kaku ni mo tsukade yo ni furu hito arikeri.*
>
> There was once a woman [*hito*, lit. 'person'] who led a forlorn, uncertain life, the old days gone forever and her present status neither one thing nor the other. (Trans. McCullough, p. 102)

Most modern commentaries give roughly the same explanation. In the 'Shinchō Nihon koten shūsei' edition, for example, Inukai argues that: '*hito* here is in the third person. A *monogatari*-like way to express how she seeks to trace in this diary the life of an individual woman' (Inukai 1982, p. 9, headnote 3). Hijikata agrees; in the course of a careful consideration of how the narrative style of the 'Gossamer Journal' took shape—a style he characterizes as a success of 'severe self-objectification and self-restraint'—his appraisal of this opening finds that: 'despite the *monogatari*-like concept at its foundation,' 'it takes off in the direction of a first-person narrative quite different in character from that of a *monogatari*' (Hijikata 2007, p. 145). And in the case of Fujii, author himself of a unique theory of grammatical person, though he offers the qualification that he 'honestly remains unsure whether [diary literature is] in the key of first or third person' (Fujii 2001, p. 581), he nonetheless argues that the *hito* here in question 'allows us to glimpse, in a single word, the *monogatari* grammatical person (*monogatari-ninshō* 物語人称) inherent in diary literature' (ibid., p. 575).

Amidst this general recognition by many commentaries and articles alike of a certain *monogatari*-like quality, Imanishi has argued that this *hito* in the opening of the first volume (a passage often seen as a prologue to the 'Gossamer Journal') is in fact an expression intended to convey humility, and 'not in third person, but first' (Imanishi 2007, p. 30)—thereby denying the influence of *monogatari*-like narration. If such a view

is accurate, one might indeed say that the 'Gossamer Diary' is throughout consistently in the first person, yet Hijikata has disputed Imanishi, arguing 'One cannot deny that, as a model for how to begin early-period prose works, she has the pattern of *monogatari*-like openings in mind' (Hijikata 2007, p. 170).

On the issue of such 'opening patterns,' as touched upon briefly above, given that the 'Gossamer Diary' does share the pattern of starting with an introduction of the main character (or people closely connected with him), precisely as pointed out by Hijikata's article, a connection with *monogatari* narrative style is difficult to deny. All the same, the refusal of Imanishi's article to take *hito* as third-person narration seems to me an important one. As stated above, we must, I believe, preserve an awareness of the fact that for the longest time, in Japanophone writing there did not exist any such third person.

In fact, as Takagi (2002) has made clear through a broad survey of usage examples from earliest times onward, it seems that the sense of the word *hito* cannot be adequately captured by the concept of grammatical person. While it might seem obvious that the *hito* underlined above in (d) refers to Michitsuna's Mother, in light of Takagi's article, at the very least one can no longer simply assert that the word refers to the figure of Michitsuna's Mother exclusively.

All in all, one seems bound to conclude that the opening of volume one of the *Gossamer Diary* is neither in the first nor in the third person. This sort of vagueness, this sort of imprecision is endemic to the Japanese language, and thus also to (*kana*-script) Japanese writing. Yet in the simple, concise narrative style observed above, in the 'Tale of the Bamboo Cutter' or in the 'Ise Stories,' of such vagueness or imprecision there had been no sign. Was it perhaps the case then that, as the narrative style of *kana*-medium prose continued to develop, this inherent characteristic of Japanese words, and Japanese writing, simply surfaced to ever greater prominence?

## 5. *Waka* and *Monogatari* Narration: The Absence of Grammatical Person

Let us pause now, and shift our gaze to consider the genre of *waka*. For the vagueness and imprecision we have mentioned here are a problem not only with prose, but a quality that *waka* poetry seems to share as well.

I long assumed that *waka* was essentially a literature of the first person. But in light of proposals such as Hijikata's (2000) on what he calls 'painting inscription-like (*gasan-teki* 画賛的) *waka*,' referring to poems which seem to be uttered neither by an intradiegetic character nor by the extradiegetic narrator, or Watanabe's (2014) on *waka* that he shows capable of 'assuming a second person-like hue,' assertions of such confidence about *waka* as a literature of the first person are no longer tenable. Here I will briefly summarize Watanabe's argument.

**(e) 'Shinkokinshū' 新古今集 ('New Collection of Poems Ancient and Modern,' 1201–1205), Autumn I, Poem 362 by Saigyō 西行 (1118–1190)**

心なき身にもあはれは知られけり鴫たつ沢の秋の夕暮れ

*kokoro naki mi ni mo aware wa shirarekeri shigi tatsu sawa no aki no yūgure*

even a body
which has rejected matters
of the heart feels pangs
of melancholy snipe rise from
the marsh evening in autumn
(Trans. Rodd, p. 157)

Regarding the phase underlined, *kokoro naki mi* ("a body / which has rejected matters / of the heart"), having noted its reference to an earlier poem by Nōin 能因 (988–?), *kokoro aran hito ni misebaya Tsu no kuni no Naniwa atari no haru no keshiki o* ('How I would like / to show someone who understands / matters of the heart! / Naniwa in the land of Tsu /

and its scenery in spring'; 'Goshūishū' 後拾遺集 ['Later Collection of Gleanings,' 1075–1086], Spring I, Poem 43), Watanabe goes on to read in such an expression more than mere modesty, finding there "action' aimed at communication,' even 'a force of appeal' that 'seeks connection with others.' As he states:

> If *kokoro naki mi* is a performance on the part of the author, then the *mi* (body) that seemed so solidly in the first person begins to waver. The reader watching this performance—we, in other words—feel pressured to reject our own hearts, to assume the body of the poet and feel his 'pangs' ourselves. This *mi* in other words begins to take on the character of a second person. Come to think of it, *mi* in the honorific form *ōn-mi* was in fact once used for second-person reference. (Watanabe 2014, p. 233)

Yet this kind of 'waver[ing],' rather than a problem localized to *waka*, most likely points beyond it to a characteristic of the Japanese language itself.

Turning back now again to prose, in particular to the narrative style of the *monogatari*, there is in fact a study by Fujii that makes mention of a latently present second person. Opining 'Is not the act of reading itself tantamount to accepting the role of the second person?' (Fujii 2012, p. 329), and working from the premise that 'without a grammatical second person as listener—at least at the initial stage—the phenomenon of narration itself would not have come into existence,' Fujii goes on to argue that 'the narrator is something like a symbiotic mechanism to voice the thoughts and feelings of the reader' (ibid., p. 332).

The problem of a listener as complement to the narrator has also been the subject of debate in the field of modern Japanese literature, as in Komori (2012). Yet surely such perception of the listener is an especially acute issue in a literature that, particularly in the 'Tale of Genji,' proactively highlights the facts of its own narration and oral transmission within the very *monogatari* text itself, in passages of authorial intrusion known as *sōshiji* 草子地 (I discuss this issue in Jinno 2018b).

Notwithstanding, when we do detect the presence—even the latent presence—of a listener, is it appropriate to call such passages of narrative 'literature of the second person'? Fujii (2012) does not take his argument so far. Instead, on the issue of grammatical person in Heian-period Japanese prose, in Fujii 1997 he offered the original concept of a 'narrating person' (*katarite ninshō* 語り手人称), arguing for it frequently over the years (e.g. in Fujii 2001; 2004; 2012). His basic approach follows from the fundamental premise that 'In the Japanese language, except for personal pronouns, or when honorific expressions function to reference it, there is no explicit grammatical person.' This leads him to a stance he expresses thus: 'To put it another way, there is no need to stay so stuffily shut up in the first, second, and third persons' (Fujii 2012, p. 337). And indeed, he has sought to establish, in addition to 'first, second, and third persons,' a 'null person' (*muninshō* 無人称), a 'zeroth person' (*zeroninshō* ゼロ人称), a 'fourth person' (*yoninshō* 四人称), and beyond those even a "personified" (*gijinshō* 擬人称) and "nature" (*shizenshō* 自然称) (the English terms "personified" and "nature" are quoted from Fujii 2012, p. 340).

Watching how in this series of articles Fujii on the one hand grapples at a fundamental level with Noam Chomsky's psycholinguistics, or the Japanese linguistics of Tokieda Motoki 時枝誠記, while at the same time trying to work out theories and principles not only for the *monogatari*, but even for the language of Heian-period Japanese writing itself, I feel a deep sympathy. All the same, there is something fundamentally difficult to accept in the way Fujii, for all his declaration that 'there is no explicit grammatical person' (Fujii 2012, p. 337), nonetheless devotes such effort to establishing a concept of grammatical person in his writings. A good example of this is his 'fourth person.' Fujii, working from the standpoint of a 'narrating I,' speaks of his attempt to apply as a concept what in the Ainu language is a clearly-existing grammatical fourth person:

> This is my proposal: what in the case of the Ainu language exists as an explicit phenomenon, where narrative literature is recounted in the fourth person,

> cannot this be found—as a latent feature—within literature in Japanese and Korean as well? If so, then in the 'Tosa Diary,' in the 'Gossamer Journal,' in the 'Sarashina Diary,' perhaps even in *monogatari* literature like the 'Tale of Genji,' we might begin to perceive the existence of a grammatical person beyond the third, a grammatical person which I would call, if only provisionally, the fourth. (Fujii 2001, p. 584)

Yet the recognition of a fourth person in the case of Ainu depends entirely on it being 'an explicit phenomenon'—to term something non-explicit a kind of grammatical person is simply not feasible.

Indeed, how feasible is it to recognize 'person' (*ninshō* 人称) as a grammatical category in Japanese to begin with? In his 'Monogatari kōzōron' 物語構造論 ('Theory of *Monogatari* Structure') published in 1995, Nakayama, in a path-breaking study where he compared the text of 'Genji monogatari' with the French of René Sieffert's modern translation 'Le Dit du Genji,' made a strong argument that a 'slippage' had occurred between the two 'owing to the linguistic (grammatical) structures of Japanese and French' (Nakayama 1995, p. 11). Already at that date Nakayama cautioned that the importation of the concept of 'grammatical person' into Japanese 'risked inviting needless confusion' (ibid., p. 25). This is how he explained the concept of 'person':

> [...] the concept of 'grammatical person' is a word from Western European languages, and a concept, moreover, modeled on the way Western European languages work, whose method of describing subjectivity requires objectification of that subjectivity. (Nakayama 1995, p. 25)

The way the Japanese prose of the Heian period 'worked' was most certainly not by any 'method of describing subjectivity [that] require[d] objectification of that subjectivity.' It was precisely for this reason, as Hijikata (2007) carefully traced, that it was difficult even for a first person-like narrative style to arise in prose—let alone something we might call third-person narrative.

To put it plainly, in the world of Japanese prose as developed during the early half the Heian period, there was no 'grammatical person.' That

being the case, what we most need now is a framework completely opposite from the theories of grammatical person elaborated in Fujii's writings. In other words, rather than seeing 'latent' grammatical person where it is not made explicit, we should instead take as our starting point the reality we faced in our earlier discussion of example (d) from the 'Gossamer Journal': that even words which might seem to show person are not, in fact, such a simple matter.

To state it more succinctly, what I call for is a new awareness of the fact that the characters referenced in *monogatari* and other narrative styles are not, as characters, ever brought into clear and objective focus. Indeed, a view along these lines was actually alluded to by Nakayama. He said, to summarize, that in Japanese prose, a character becoming the object of focus does not in itself imply that it has also become a character in the third person (Nakayama 1995, p. 30). With such an awareness in mind, I will now look at characteristic passages from the narrative of the 'Tale of Genji.'

## 6. The Narration in the 'Tale of Genji' and Intersubjectivity

Let us begin, just as with the 'Tale of the Bamboo Cutter,' the 'Ise Stories,' and the 'Gossamer Journal' above, by looking at the opening of this massive work—the first sentence of the 'Paulownia Pavilion' ('Kiritsubo' 桐壺) chapter:

**(f) 'The Paulownia Pavilion' ('Kiritsubo' 桐壺): Chapter Opening**

いづれの御時にか、女御、更衣あまたさぶらひ給ひける中に、いとやむごとなききはにはあらぬがすぐれてときめき給ふ、ありけり。(p. 5)

*Izure no ōn-toki ni ka, nyōgo, kōi amata saburai-tamaikeru naka ni, ito yangoto-naki kiwa ni wa aranu ga sugurete tokimeki-tamau, arikeri.*

In a certain reign (whose can it have been?) someone of no very great rank, among all His Majesty's Consorts and Intimates, enjoyed exceptional favor. (Trans. Tyler, p. 3)

Despite the widespread fame of this opening, it remains a passage difficult to understand. There are several reasons for this. One point often thought difficult, for example, is that *ga* in the phrase *ito yangoto-naki kiwa ni wa aranu ga* ("someone of no very great rank") is not to be understood as a conjunction, but rather as a case particle. Yet perhaps more than anything else, the difficulty of understanding this passage lies in the fact that the character ostensibly being here introduced, namely the Kiritsubo Intimate (Kiritsubo no Kōi 桐壺更衣), mother of Hikaru Genji 光源氏, is not actually referred to by any individual word. In the English translation provided under (f), for example, the best that could be done was to supply the word 'someone.'

Accordingly, my rendition of the original text above places a comma between *sugurete tokimeki-tamau* ("enjoyed exceptional favor") and *arikeri* ('there was'). The majority of commentaries now in circulation do not in fact insert a comma here, but I feel that after *tokimeki-tamau* there really should be one, for it is behind this *tamau* that the crucial Kiritsubo Intimate herself is to be found hiding, a fact I think must be firmly kept in mind.

With the examples looked at previously, both in (b) the openings of the 'Tale of the Bamboo Cutter,' the 'Tale of Ochikubo,' and the 'Tale of the Hollow Tree,' as well as in (c) the openings from various chapters in the 'Ise Stories,' there was always some word or name provided to indicate the character being introduced. This word also served as the subject of that opening's first sentence. Setting aside for the moment the problem of grammatical person, for the purposes of an introduction, simple sentences like these are indeed most appropriate. Yet the opening of 'The Paulownia Pavilion' contains no word to express the given character all the same. Nor will such a word be found by proceeding on to the passages that follow. Why is this? Is it just bad writing? This seems unlikely.

In fact, while throughout the 'Tale of Genji' there are many sentences introducing characters, not all of them resemble the opening of the 'The Paulownia Pavilion':

from 'The Bluebell' ('Asagao' 朝顔):

> 斎院は、御服にておりゐ給ひにきかし。(p. 639)
>
> *Saiin wa, ōn-buku nite ori-i-tamainiki kashi.*
>
> The Kamo Priestess had resigned, because she was in mourning. (Trans. Tyler, p. 365)

from 'The Maiden of the Bridge' ('Hashihime' 橋姫):

> そのころ、世に数まへられたまはぬふる宮おはしけり。(p. 1507)
>
> *Sono koro, yo ni kazumaerare-tamawanu furumiya owashikeri.*
>
> There was in those days an aged Prince who no longer mattered to the world. (Trans. Tyler, p. 829)

These are the first sentences, respectively, from the chapters 'The Bluebell' ('Asagao') and 'The Maiden of the Bridge' ('Hashihime'), both of which begin by introducing one of the work's main characters. In either of these openings, there is an explicit reference to the said character, which functions also as the sentence's subject, and the style in both cases is quite straightforward. By contrast, in the opening of the work's initial chapter, 'The Paulownia Pavilion,' rather than making the given character the center of focus, the narrative method employed seems almost to leave her silhouette deliberately indistinct.

Yet why was such a manner of narration deliberately adopted? After analyzing the examples to which we now turn our attention, I will take up this problem once again at the end.

Next let us review just two examples where characters in the story and the narrator seem to be overlapping as the narrative's object of focus. Throughout the text of the 'Tale of Genji,' there are literally countless examples where this is the case. First I will take up one such passage from

the chapter 'At the Pass' ('Sekiya' 関屋), as a scene where the expression *mono-aware nari* ものあはれなり ('how moving') is used. It recounts the point at which one travelling party including Utsusemi 空蝉, heading for the capital on its way home from her husband's post in Hitachi 常陸, and another travelling party including Hikaru Genji, heading out for a pilgrimage to Ishiyama 石山, cross each other's paths at the Ōsaka 逢坂 barrier:

**(g) 'At the Pass' ('Sekiya' 関屋): Panoramic (*fukanteki* 俯瞰的) Narrative**

九月つごもりなれば、紅葉の色々こきまぜ、霜枯れの草、むらむらをかしう [1] 見えわたるに、関屋よりさとくづれ出でたる〔源氏一行ノ〕旅姿どもの、色々の襖のつきづきしきぬひ物、括り染めのさまも、さる方にをかしう [2] 見ゆ。御車は簾おろし給ひて、かの [3] 昔の小君、いま右衛門の佐なるを召し寄せて、「今日の御関迎へは、え思ひ捨て給はじ」などのたまふ。[4] 御心のうち、いとあはれに思し出づること多かれど、おほぞうにてかひなし。女〔＝空蝉〕も、人知れず [5] 昔のこと忘れねば、とり返して [6] ものあはれなり。

〔空蝉〕行くと来とせきとめがたき涙をや絶えぬ清水と [7] 人は見るらむ

え知り給はじかし、と思ふに、いとかひなし。(p. 548)

*Nagatsuki tsugomori nareba, momiji no iroiro kokimaze, shimogare no kusa, muramura okashū [1] miewataru ni, sekiya yori sato kuzure idetaru [Genji and his party's] tabisugata-domo no, iroiro no ao no tsukizukishiki nuimono, kukurizome no sama mo, saru kata ni okashū [2] miyu. Ōn-kuruma wa sudare oroshi-tamaite, kano [3] mukashi no Kogimi, ima Uemon no suke naru o meshiyosete, "kyō no ōn-sekimukae wa, e-omoisute-tamawaji" nado notamau. [4] Ōn-kokoro no uchi, ito aware ni oboshiizuru koto ōkaredo, ōzō nite kai nashi. Onna [i.e. Utsusemi] mo, hito shirezu [5] mukashi no koto wasureneba, torikaeshite [6] mono-aware nari.*

*[Utsusemi's poem] Yuku to ku to sekitomegataki namida o ya taenu shimizu to [7] hito wa miru ran*

*E-shiri-tamawaji kashi, to omou ni, ito kai nashi.*

It was the last day of the ninth month. Autumn leaves glowed in many colors, and expanses of frost-withered grasses [1] drew the eye, while a brilliant procession in hunting cloaks embroidered or tie-dyed [2] to splendid advantage strode on past the barrier lodge. Genji lowered his carriage blind and sum-

> moned [3] the little brother of long ago; he was now the Second of the Right Gate Watch. "I am sure you will not soon forget how I came to the barrier to meet you," he said in words meant for the young man's sister. [4] Touching memories of all kinds swept through his mind, but he was obliged to keep his remarks innocuous.
>
> She, too, had kept [5] old memories in her heart, and now [6] their sadness rose in her again.
>
> > *"Coming and going, I found here no barrier to these tears of mine—*
> > *perhaps they may seem to [7] you the slope's ever-welling spring."*
>
> He would never understand, she knew, and she was overcome by helpless sorrow. (Trans. Tyler, p. 316)

Here the scenery at the "last day of the ninth month," as well as the travel dress of Hikaru Genji's party, is narrated panoramically, with the words [1] *miewataru* and [2] *miyu* ('to appear/come into view,' with *-wataru* emphasizing the range of what is seen) as numbered and underlined above (translated optically yet not obviously by Tyler here in conjunction with *okashū* as [1] "drew the eye" and [2] "to splendid advantage"). Similarly in the designated national treasure (*kokuhō* 国宝) of the 'Tale of Genji Picture Scrolls' ('Genji monogatari emaki' 源氏物語絵巻, first half 12th c.), the way this scene is drawn can fairly be described as panoramic.

Directly after the sentence ending in *saru kata ni okashū miyu*, however (in the above translation the sentence ending "strode on past the barrier lodge"), the focus is narrowed down to Hikaru Genji in his car with the "carriage blind" (*sudare*) "lowered" (*oroshi-tamaite*). Beyond this, in response to the feelings in turn of Hikaru Genji and Utsusemi both, there now sets to work a will for revisiting the 'past' (*mukashi*) they share together, as seen in the underlined [3] *mukashi no Kogimi* ("the little brother of long ago") and [5] *mukashi no koto* ("old memories"). The chapter is also one that makes the reader feel the vast scale of time, as it stretches out from the distant past to the present moment.

Yet whose precisely is this point of focus, capable somehow of perceiving both this breadth of space at the Ōsaka barrier as well as this stretch of time out from the past?

Here I want to focus on the underlined phrase [6] *mono-aware nari* (rendered by Tyler as "their sadness rose in her"). In the previous sentence's underlined phrase that begins with [4] *Ōn-kokoro no uchi* (lit. 'In his heart'), Hikaru Genji was narrated as being *ito aware* (lit. 'extremely touched') (rendered by Tyler as "Touching [memories… swept] through his mind"). In contrast, the sentence focusing on Utsusemi, here referred to as *onna* (lit. 'woman'), reads *torikaeshite mono-aware nari* ("now their sadness rose in her again"). This *mono-aware nari* is a word whose emotional content, as I reviewed in a previous article (Jinno 2014), seems to be connected with an expanse of either space or time, and to moreover be shareable among several people at once.

This underlined expression [6], while indeed resonating with Hikaru Genji's feeling of *ito aware* in the sentence previous, can safely be identified as the feeling of Utsusemi, here recalling her relationship with Genji in 'the past' (*mukashi*). Yet rather than this being limited to Utsusemi alone, judging from the presence of *mo* in *onna mo* ("She, *too*, […]"; emphasis added) there would also seem to be some sharing of this feeling between Hikaru Genji—whom she fails to meet—and herself, all of it overlayered, moreover, by either's feelings about events in the past. At this point, it is difficult to say that Utsusemi's 'person' maintains any longer any clear boundaries.

Furthermore, directly after this underlined phrase [6], we note Utsusemi's poem of soliloquy, *yuku to ku to…* ("*Coming and going* […]"). The various rhetorical devices it contains—pivot words (*kakekotoba* 掛詞), poem pillows (*utamakura* 歌枕), etc.—are important, but here I want to focus on the underlined word [7] *hito* (lit. 'person,' though by Tyler rendered as 'you'). To draw on the same article by Takagi (2002) touched on above, it is not wrong to take this *hito* in Utsusemi's poem as a reference

to Hikaru Genji. Yet rather than something meant to indicate Genji exclusively, we should probably understand the word *hito* here as additionally encompassing the people to be found in Utsusemi's party, as well as the people in Hikaru Genji's party, and indeed even those bystanders unconnected to either party.

There are not in the 'Tale of Genji' many scenes like this one in 'At the Pass' ('Sekiya') where the breadth of outside space can be appreciated, but here in (g), simultaneous—probably deliberately—with a dilation in space and in time, both Hikaru Genji and Utsusemi, as well as either of the groups surrounding them, find themselves in the *monogatari* world become now things of contour without clarity.

Let us take one further example, this time a case where we find an overlap between one particular character in the story and the narrator. Among the 'Ten Uji Chapters' (*Uji jūjō* 宇治十帖) that fall in the period after Genji's death, this scene from the 'Maiden of the Bridge' ('Hashihime' 橋姫) chapter, where Kaoru 薫 catches his first glimpse of the daughters of the Eighth Prince (Hachi no Miya 八の宮) while at Uji, is singularly famous:

**(h) 'The Maiden of the Bridge' ('Hashihime' 橋姫): Glimpsing (*kaimami* 垣間見) Narrative**

あなたに通ふべかめる透垣の戸を、すこし押し開けて見たまへば、[...] いとあはれになつかしうをかし。[1] 昔物語などに語り伝へて、若き女房などの読むをも聞くに、かならずかやうのことを言ひたる、さしもあらざりけん、と憎く推しはからるるを、[2] げにあはれなるものの隈ありぬべき世なりけり、と心移りぬべし。霧の深ければ、さやかに見ゆべくもあらず、また月さし出でなん、と思すほどに、[...] (pp. 1522–23)

*Anata ni kayou beka[n] meru suigai no to o, sukoshi oshiakete mi-tamaeba, [...] ito aware ni natsukashū okashi. [1] Mukashi-monogatari nado ni kataritsutaete, wakaki nyōbō nado no yomu o mo kiku ni, kanarazu kayō no koto o iitaru, sa shimo arazariken, to nikuku oshihakararuru o, [2] geni aware naru mono no kuma arinu beki yo narikeri, to kokoro utsurinu beshi.*

> *Kiri no fukakereba, sayaka ni miyu beku mo arazu, mata tsuki sashiidenan, to obosu hodo ni, [...]*
>
> The Captain cracked open the door that seemed to lead through the fence and peered in [...] [the sisters] struck him as more engagingly attractive than anything he had imagined. When he heard young gentlewomen read [1] old tales with scenes like this, he always assumed disappointedly that nothing of the kind could actually happen, [2] but there were after all such corners in real life! He was already losing his heart to them.
>
> The mist was too thick for him to see them very well. If only the moon would come out again! [...] (Trans. Tyler, p. 837)

In this scene, just as depicted in the designated national treasure of the 'Tale of Genji Picture Scrolls,' Kaoru is spying on the two daughters, each of whom has an instrument to hand, respectively the *biwa* 琵琶 (a lute) and the *sō* 箏 (a kind of zither). The difficulty the scene presents in distinguishing which of these two is Ōigimi 大君 (the older sister), and which Nakanokimi 中の君 (the younger), is widely-known, but here I set that problem aside. Instead I will focus consideration on the phrase numbered and underlined above: [2] *geni aware naru mono no kuma arinu beki yo narikeri, to kokoro utsurinu beshi*, translated by Tyler as "but there were after all such corners in real life! He was already losing his heart to them." While Tyler uses free indirect speech followed by a statement of the narrator, I will argue below that the whole phrase should rather be translated as free direct speech.

The majority of modern commentaries, and most studies of the passage as well, analyze the underlined phrase [2] as being an evaluation from the narrator's point of view. Mitani, for example, noting the presence of the internal-monologue framing particle *...to*, argued that 'what amounts to nothing but the narrator's own baselessly speculative internal monologue (*naiwa* 内話), in other words, has here been written out as a case of authorial intrusion (*sōshiji*), thereby obliging the reader to make sense of the passage on multiple levels at once' (Mitani 2002, p. 339). Yoshii (2008), and even Kanda (2006), also interpret this part as *sōshiji*. Kanda's article,

incidentally, explains that 'though Kaoru himself may not have realized it, here at least the narrator has perceived him as *kokoro utsurinu beshi* ["already losing his heart"]' (Kanda 2006, p. 272). Yet could we not also interpret the strong inference of the *beshi* in *kokoro utsurinu beshi* as being the inference of Kaoru himself? Among the various commentaries, as early as the 'Shinchō Nihon koten shūsei' edition of 1982, Ishida and Shimizu offer that 'here Kaoru's private feelings are presented straightforwardly in the prose' (Ishida/Shimizu 1982, p. 276, headnote 7), an interpretation supported, for example, in an article by Mori (1994).

Also worth noting in this light is a linguistic feature that sets this passage apart: as the narration of an act of glimpsing, honorifics for Kaoru as he "peer[s] in" go lacking. Specifically, both in the verb *oshihakararuru* ("he always assumed"), as well as in the immediately succeeding underlined phrase [2] *kokoro utsurinu beshi* ("He was already losing his heart"), no honorific language is applied to Kaoru at all. Moreover, this narrative mode, with its seemingly direct vocalization of Kaoru's own perceptions, can probably be seen as continuing all the way up to the phrase *tsuki sashiidenan* ("If only the moon would come out again!") in the sentence that follows. One of the consequences of this line of interpretation, however, is that Kaoru's internal monologue in [2] *geni aware naru mono no kuma arinu beki yo narikeri…* ("[he always assumed disappointedly that…] but there were after all such corners in real life!") would have to be an instance of Kaoru thinking objectively about his own thoughts. Essentially, this would involve Kaoru being as if self-aware here, indeed in a sense almost predicting the 'narrative' he seemed likely to go on to experience.

On the other hand, it seems wrong to dismiss as completely unfounded the alternative interpretation offered by most studies and commentaries. This school of thought takes the above underlined phrase [2] to be the conjecture rather of the narrator, who would thereby be predicting that the *kokoro* (heart) of Kaoru, passionate devotee of the Buddhist path, will

inexorably, as a result of this opportunity to glimpse the daughters of the Eighth Prince, find itself drawn to them. Certainly there is no great difficulty here in taking the narrator to be the conjecturing agent. All things considered, for a text like the 'Genji' the most likely reading of the underlined phrase in question probably involves *beshi* serving both as a strong conjecture about his own future by the character Kaoru himself, and simultaneously as a similar conjecture by the narrator narrating him.

To date, in the case of such passages, interpretations along these lines, viewing characters like Kaoru here as somehow 'united' (*ittai-ka* 一体化) with the narrator, have not been uncommon. Yet while 'united' might seem easy-to-understand as a metaphor, in point of fact no 'unification' between the two actually occurs. If we consider the matter as a problem of grammatical person, we can probably say that Kaoru's 'person' here does not become the object of focus in the manner of a third-person novel. Yet the best word to express succinctly what has been characteristic of the examples taken up so far would probably be 'intersubjectivity' (in Japanese *kan-shukansei* 間主観性, though also *sōgo-shutaisei* 相互主体性 or *kyōdō-shukansei* 共同主観性)—a term no longer confined to the phenomenology of philosophers like Edmund Husserl and Maurice Merleau-Ponty, but one used widely today across many fields within the humanities and the social sciences (Jinno 2018a).

An early example of thinking along these lines was Sakabe, who studied the 'structural isomorphism' between 'metaphorical linguistic expressions' and those 'phenomena of a certain intersubjective (*sōgo-shutai-teki* 相互主体的) character' (Sakabe 1989, p. 150) that give rise to them. As manifest instances of such, he used, for example, the sort of relationship found among the members of a *renga* meeting, or between the chorus (*jiutai* 地謡) and characters of a noh drama, or even within the controlling functions of *ji* 辞 in the Japanese language, i.e. particles and verbal suffixes that convey the speakers's standpoint (Sakabe's 1990 book 'Katari' ['Narrative'] is also in this vein). Hyōdō (2017) too, while expressing 'intersub-

jectivity' in Japanese as *kyō-shukansei* 共主観性, argued for the uniqueness of the position of narrator in the *monogatari* tale, and the potential this harbored within the context of postmodernity.

For example, to return to the case of the 'At the Pass' chapter ('Sekiya') in (g) above, there is a certain ambiguity to the boundaries around Hikaru Genji and Utsusemi, also around the various male and female servants on either side, and even around the narrator—all of this accompanied moreover by the lyricism of *mono-aware nari* ("their sadness rose in her"). The 'central focus' in such a situation might be described as being held by all in common. Likewise in (d), the opening to the first volume of the 'Gossamer Diary,' it is difficult to claim that the centrality of the author, Michitsuna's Mother, is explicitly thus marked out as central by such a word as *hito* ('person'). And indeed—is this not precisely what is meant by 'intersubjectivity'? Investigation of the historical developments leading to this point is a task for the future, but here I will sketch out briefly the broad arc of things as I see it currently. My sense is that Japanese prose of the Heian period, despite its beginnings in plainer styles of narration, came gradually to refine its power of expression by drawing on resources inherent to the Japanese language, at length developing this quality that we moderns call by the name of 'intersubjectivity.' And there is an even more important point: the effect of this 'intersubjectivity,' by whose mechanism all the action, speech, and experience of the characters and narrator(s) within a text may be shared also by the reader regarding them from without.

I will conclude here with another look at the example above in (f)—the opening of 'The Paulownia Pavilion' chapter ('Kiritsubo'), and the starting point for the 'Tale of Genji':

> いづれの御時にか、女御、更衣あまたさぶらひ給ひける中に、いとやむごとなききはにはあらぬがすぐれてときめき給ふ、ありけり。(p. 5)
>
> *Izure no ōn-toki ni ka, nyōgo, kōi amata saburai-tamaikeru naka ni, ito yangoto-naki kiwa ni wa aranu ga sugurete tokimeki-tamau, arikeri.*

> In a certain reign (whose can it have been?) someone of no very great rank, among all His Majesty's Consorts and Intimates, enjoyed exceptional favor. (Trans. Tyler, p. 3)

Here the Kiritsubo Intimate, mother of the protagonist Hikaru Genji, is the referent of the phrase *ito yangoto-naki kiwa ni wa aranu ga sugurete tokimeki-tamau* ("someone of no very great rank [...] enjoyed exceptional favor"), yet nowhere in the Japanese does one find a word actually referring to this figure directly. Not even a pronoun is to be found, either here or reading on to the passages that follow. One could describe it as the protagonist's mother not being sufficiently brought into focus, but is it not rather the case that here, too, the woman introduced in this sentence is something prior to any distinctions of grammatical person? Someone not provided any specification? One with whom anyone in the world of the story might overlap? Indeed, one with whom even the readers might overlap? It is this, I think, that constitutes the true starting point of the 'Tale of Genji': the desire, strongly felt, for such an 'intersubjective' way of being.

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*Sebastian Balmes*

# Linguistic Characteristics of Premodern Japanese Narrative

## Issues of Narrative Voice and Mood

*Abstract.* In order to examine linguistic characteristics of classical and medieval Japanese literature, this article considers two categories that Gérard Genette defined in his 'Narrative Discourse': voice and mood. First, the specific ways in which narratorial presence is created in premodern Japanese texts and how they relate to grammatical person are discussed. Subsequently, the paper scrutinizes the status of the narrator(s) of 'The Tale of Genji' and other narratives, who are neither fully heterodiegetic nor homodiegetic, partly due to linguistic conventions but also because of premodern conceptions of literature. The section on mood is divided into perspective and distance. It is shown how 'internal' focalization is constituted in Japanese narrative, and what problems are raised by the distinction between voice and perspective. Finally, the definition of distance is reconsidered through the analysis of Japanese texts, leading to a conclusion that coincides with theoretical observations, and to the realization that in Japanese narrative distance can hardly be determined by speech representation.

### 1. Introduction

While there is an ongoing debate on how universal concepts of classical narratology really are, so far few attempts have been made to clarify this question by studying narrative traditions in non-European languages.

Although it has already been pointed out that theoretical models may need modification in order to apply them to premodern Japanese literature (Watson 2004, p. 116), there have not been many specific suggestions on how this can be done.[1] The reason for this state of affairs seems to be not so much neglect of theoretical issues as the enormous difficulties one encounters when engaging in this task. Another reason is that most articles on premodern Japanese literature that use narratological methodology do not focus on theory itself but on a specific text or group of texts.

This article aims to explain some characteristics of premodern Japanese narrative that depend on the classical Japanese language. Since this approach takes into account only basic linguistic conditions of narrative discourse and does not include plot structures and issues of character representation, it cannot lead to a holistic theory of Japanese narrative. However, it might give some clues as to what parts of individual narratological concepts may be considered universal and what parts will have to be examined more closely in order to adequately analyze classical and medieval Japanese literature. The structure of this paper follows Gérard Genette's influential categories 'voice,' i.e. the narrator, and 'mood,' which is regulated by 'distance' and 'perspective.' Despite its flaws, some of which will be pointed out below, the theory devised by Genette in his 'Discours du récit' (first published in 1972 and translated under the title 'Narrative Discourse') is still widely used and his categories provide a helpful framework to discuss narrative characteristics of premodern Japanese literature.[2]

## 2. Voice

The narrator may be defined as the deictic center of narration, which after its anthropomorphization in the mind of the reader appears as the originator of narrative discourse. As such, the narrator has to be distinguished from the real author of a text (Margolin 2011, pp. 43–44; 2014, par. 1). Since not all narrators are personified, this textual function is also re-

ferred to as (narrative/narrating) voice, a term taken from the theory of Genette, even though he presents a different definition in his introduction—but this terminological issue needs not to be addressed in detail here.

In the following, we will first examine how narratorial presence is created in Japanese texts and, since this concept is vital to many theories of narrative, how it is related to grammatical person. Subsequently, special attention will be paid to the narrator(s) of the 'Genji monogatari' 源氏物語 ('The Tale of Genji'), written by the court lady Murasaki Shikibu 紫式部 in the early eleventh century, which also allows us to draw conclusions on narrative voice in classical and medieval Japanese texts in general.

## 2.1 Narratorial Presence: Grammatical Person and 'Narrative Posture'

The way narratorial presence is created in premodern Japanese narrative differs considerably from that of Western literature—but also from that of the modern Japanese novel. Among studies on the narrator in premodern Japanese texts, the narrator(s) of the 'Genji monogatari' has/have been discussed the most. Because the text is difficult to comprehend, in the late fifteenth century commentators started to mark different types of discourse through interlinear glosses. From the early sixteenth century on, narratorial comments, then—and sometimes even more recently—still thought of as 'auctorial' comments (*sakusha no kotoba* 作者[の]詞), were known under the term *sōshiji* 草子地 ('ground/foundation of the book') (Izume 1989). The concluding lines of the chapter 'Yūgao' 夕顔 ('The Twilight Beauty')[3] belong to the *sōshiji* quoted the most frequently:

> かやうのくだ/＼しき事は、あながちに隠ろへ忍び給しもいとを(ほ)しくて[4]、みな漏らしとゞめたるを、「など、みかどの御子ならんからに、見ん人さへかたほならず物ほめがちなる」と、作りごとめきて取りなす人ものし給ければなん。あまりもの言ひさがなき罪、さりどころなく。('Genji monogatari,' SNKBT 19: 146; emphasis added)

> *Kayō no kudakudashiki koto wa, anagachi ni kakuroe-shinobi-tamaishi mo itōshikute, mina morashi-todometaru o, "nado, mikado no mi-ko naran kara ni, min hito sae kataho narazu mono-homegachi naru" to, tsukurigoto-mekite torinasu hito mono shi-tamaikereba nan. Amari mono-ii saganaki tsumi, saridokoro naku.*
>
> His efforts to conceal this kind of troublesome thing were pathetic and so I had not let them come out, but precisely because there are even people who think the whole thing is a fiction, wondering, Just because he is the emperor's son, why do even people who know him tend to praise him and think he has no faults? [I have written like this.] There is no way to avoid the sin of gossiping. (Stinchecum 1980, p. 381; square brackets as in the original, emphasis added)

The Japanese quote does not contain any words corresponding to the personal pronouns of Indo-European languages. It is an important feature of Japanese that words that would be required in a sentence in a European language can be left out, most significantly the subject. Although this is also the case in modern Japanese, this tendency is most striking in the language of the Heian period (794–1185). While statements that would appear redundant or too insistent were avoided, the subject was often hinted at by the degree of honorific expressions, which show a greater variety than those of modern Japanese (for analyses of text examples from 'Genji monogatari' in which changes of the subject can only be determined by honorifics, refer to Murakami 2009).

Since it was common to omit the subject, it comes as no surprise that the passage from 'Yūgao' does not require pronouns. Yet, *mina morashi-todometaru* ("I had not let them come out") has to be translated in the first person, adding the pronoun 'I.' That the narrator refers to herself can be inferred from the absence of an honorific expression and because it would make no sense to ascribe this withholding of narrative information to any other character. This is the only instance where Amanda Mayer Stinchecum adds a personal pronoun in her translation of the quote, which is literal as far as possible, whereas Royall Tyler's translation includes the word 'I' three times and 'my' twice ('The Tale of Genji,' p. 80).

There is a similar tendency in other passages that are regarded as *sōshiji*. Therefore, while *sōshiji* have been described as "first-person asides" (Watson 2005, p. 265), this does not apply to the Japanese text in the strict grammatical sense. The kind of narrator who falls into neither of the traditional categories 'first-person narrator' and 'third-person narrator' has sometimes—though usually in modern contexts very different from *sōshiji*—been termed a 'non-person narrator' (*muninshō no katarite* 無人称の語り手; Kamei 1983, pp. 15–16; 2002, pp. 9–10; see also Uno 1995, p. 61).[5]

Not only is it most uncommon for a narrator in Japanese to refer to himself by a word corresponding to English 'I' unless he himself (or, to be more precise, his past self) was involved in the narrated events, it can even be argued that the concept of grammatical person does not apply to classical Japanese, as is proposed by Jinno Hidenori.[6] Grammatical person is not marked by verb conjugation, and while there has been a system of 'real personal pronouns' (Lewin 2003, p. 8) in Old Japanese (8th c.),[7] which were used much more frequently than pronouns of later periods (Frellesvig 2011, p. 138), it has been abandoned in Early Middle Japanese (9th–12th c.) (ibid., p. 245). For instance, in the 'Kojiki' 古事記 ('Records of Ancient Matters,' 712) Izanaki 伊邪那岐 says to Izanami 伊耶那美:

> 美我那邇妹命、吾与汝所レ作之国、未作竟。[...] ('Kojiki,' SNKBZ 1: 44; emphasis added)
>
> *"Utsukushiki aga nanimo no mikoto, are to namuchi to tsukureru kuni, imada tsukuri-owarazu. [...]"*[8]
>
> "You, my beloved girl, the lands that I and you created are not yet finished. [...]"

This accumulation of pronouns is not often found in the literature of the following centuries (although in the late Heian period the word *mikoto*, which is here employed as an honorific, could in fact be used to refer to the addressee, or 'second person,' in a casual or derogatory way).[9]

In Early Middle Japanese, which forms the basis of the written language until the modern period and is also subsumed under 'classical Japanese,'[10] the most common 'pronouns' denoting the speaker are *ware* and *waga*. *Ware* is also used in the rare example of a narrator referring to himself with a pronoun in *setsuwa* 説話[11] literature that Komine Kazuaki (2002, p. 172) quotes from Kamo no Chōmei's 鴨長明 (1155–1216) 'Hosshinshū' 発心集 ('Collection of [Tales on the] Resolution to Attain Enlightenment,' ca. 1215). *Ware* and *waga* derive from Old Japanese *wa* that, in contrast to the first-person pronoun *a*, could be used for plural reference but also as a reflexive pronoun ('myself,' 'oneself'). Thus, it can be concluded that *wa* served as an indefinite personal pronoun in pre-Old Japanese (Frellesvig 2011, pp. 138, 142). Although "a shift from *a-* to *wa-* as the 1st person pronoun" occurred (ibid., p. 138), the usage of *ware* does not correspond to that of English 'I,' since *ware* can also denote the third person (ibid., p. 246) or be used as a second-person pronoun when speaking to someone subordinate to oneself on a social scale (KKD: 'ware'). The following quote is an example for a case in which *waga* has to be substituted by a third-person pronoun in translation:

> 然シテ我カ御身ハ都テ无レ程御入滅 (Akagi-bunko-bon 'Shintōshū,' p. 339 [vol. 7, fol. 19r]; emphasis added)[12]
>
> *Shikōshite waga on-mi wa miyako de hodo naku go-nyūmetsu [su]*
>
> Soon after that, he himself entered nirvāṇa in the capital.

It is impossible to explain this use of *waga* by assuming a change to first-person narration since honorifics, such as the prefixes *on-* and *go-* (both written 御), cannot be used when referring to the speaker. *On-mi*, here taken as the honorific form of 'oneself,' in this context 'himself,' cannot only mean 'body' as well, which too seems applicable to the quote, but can also be used as a 'second-person pronoun.' Along with the semantic range of the so-called 'personal pronoun' *ware*, this contributes to the confusion to which the application of grammatical person to Japanese leads. While

in the above phrase the honorific expression *on-* reveals the referent of *waga*, in some cases we can only rely on context. Tomiko Yoda quotes a striking example from the 'Sarashina nikki' 更級日記 ('The Sarashina Diary,' ca. 1060) by Sugawara no Takasue's Daughter (Jp. Sugawara no Takasue no Musume 菅原孝標女, 1008–?) in which *ware* is used twice in one sentence, one time referring to the protagonist (or the narrator's past self), the other time to her father.

> 父は、たゞ我をおとなにしすへ(ゑ)て、我は世にもいでまじらはず、[...] ('Sarashina nikki,' SNKBT 24: 406; emphasis added)
>
> *Tete wa, tada ware o otona ni shi-suete, ware wa yo ni mo ide-majirawazu, [...]*
>
> My father immediately set *me* (*ware*) up as the mistress of the household, while he *himself* (*ware*) withdrew from the world. (Yoda 2004, p. 193)

The fact that, after the father (*tete*) is introduced as the topic of the sentence, *ware* first refers to the protagonist and only after that to the father, who is again marked as the topic by the particle *wa*, makes this phrase even more difficult to comprehend.

In addition to the absence of a fixed set of personal pronouns from the Heian period on, it is particularly striking that even in Old Japanese there is no one pronoun reserved exclusively for the third person (see also Lewin 2003, p. 54). Instead, this function is carried out by demonstratives that also refer to inanimate objects (in Old Japanese *so* and *shi*; see Frellesvig 2011, pp. 138–139). We may recall Émile Benveniste's (1966, pp. 255–256) argument that the third person is actually a 'non-person' because its referent can be understood independently of the 'instance of discourse.' But even so, this does not change the fact that 'pronouns' such as *ware* are not limited to one specific person (or 'non-person'). It therefore seems misleading to transfer conceptions of first- and third-person narration to Japanese literature.

Yet, it has sometimes been stated that in classical Japanese literature changes from third- to first-person narration or vice versa may occur. The

most famous example for which this claim has been made is the beginning of the 'Kagerō no nikki' かげろふの日記[13] ('The Kagerō Diary,' ca. 974), the memoir of Fujiwara no Michitsuna's Mother (Jp. Fujiwara no Michitsuna no Haha 藤原道綱母, 936?–995).

> かくありし時すぎて、世中にいとものはかなく、とにもかくにもつかで世にふる人ありけり。[...] たゞふしを (お) きあかしくらすまゝに世中におほかるふる物語のはしなどを見れば、世におほかるそらごとだにあり、人にもあらぬ身のうへまで書き日記してめづらしきさまにもありなん、天下の人の品たかきやと問はんためしにもせよかし、とおぼゆるもすぎにし年月ごろのこともおぼつかなかりければ、さてもありぬべきことなんおほかりける。
> ('Kagerō [no] nikki,' SNKBT 24: 39; emphasis added)

> *Kaku arishi toki sugite, yo no naka ni ito mono-hakanaku, to ni mo kaku ni mo tsukade yo ni furu hito arikeri. [...] tada fushi-oki akashi-kurasu mama ni yo no naka ni ōkaru furu-monogatari no hashi nado o mireba, yo ni ōkaru soragoto dani ari, hito ni mo aranu mi no ue made kaki nikki shite mezurashiki sama ni mo arinan, tenge no hito no shina takaki ya to towan tameshi ni mo seyo kashi, to oboyuru mo suginishi toshitsuki-goro no koto mo obotsukanakarikereba, sate mo arinu beki koto nan ōkarikeru.*
>
> Thus the time has passed and there is one in the world who has lived such a vain existence, catching on to neither this nor that. [...] it is just that in the course of living, lying down, getting up, dawn to dusk, when she looks at the odds and ends of the old tales—of which there are so many, they are just so much fantasy—that she thinks perhaps if she were to make a record of a life like her own, being really nobody, it might actually be novel, and could even serve to answer, should anyone ask, what is it like, the life of a woman married to a highly placed man, yet the events of the months and years gone by are vague; places where I have just left it at that are indeed many. ('The Kagerō Diary,' trans. Arntzen, p. 57; emphasis added)

It should be noted that the Japanese quote does not contain any 'pronouns.' Following conventional narrative patterns of the time, the first sentence of the text ends with *hito arikeri* ('there was one [who ...]') (for a detailed discussion of this sentence focusing on *hito*, see section 4 of Jinno's article in this volume). In most translations, the whole passage is rendered in the third person before the main part of the diary starts in the first person—e.g. in the translation by Edward Seidensticker, who after

this opening passage literally begins with the pronoun 'I' ('The Gossamer Years,' p. 33). This choice is obviously made because in Western narrative tradition a change of grammatical person is considered a "violation" (Genette 1986, p. 246). Seidensticker puts the opening passage in italics and thus sets it off from the rest of the diary, marking it as a prologue that may be considered a paratext (or peritext), so that no breach of rules regarding the consistency of person can be detected. However, in premodern versions such as the Katsuranomiya 桂宮 manuscript, which serves as the basis for modern editions of the text, the opening is not marked in any way.[14]

This distinction is also not made by Sonja Arntzen, in whose translation the first two sentences appear as a paragraph as any other. Arntzen too assumes a change from third- to first-person narration, but according to her the text "gradually shifts over to the first person perspective" (Arntzen 1997, p. 4). In her translation, this shift is completed at the end of the second, sinuous sentence ("places where I have just left it at that are indeed many"). This is of course a matter of interpretation—I feel that the phrase *mezurashiki sama ni mo arinan* ("it might actually be novel"), with *-nan* expressing a strong conjecture, serves as a hint that it may be appropriate to use first-person pronouns even somewhat earlier. Moreover, *to oboyuru*, consisting of a quotative particle and the verb 'to think,' does not necessarily signal the thoughts of the protagonist but could also be taken as referring to the thoughts of the narrator, and does not necessarily frame *mezurashiki sama ni mo arinan* (Balmes 2018, p. 15, see also my German translation on p. 14).

A translation like that by Arntzen or the one proposed may appear to suggest that in Japanese narrative—in contrast to Western literature—a change of grammatical person is not perceived as a 'violation.' But just because a change of grammatical person is a convenient way to express the conspicuous shift of perspective that occurs at the beginning of the 'Kagerō no nikki' in an European language, this does not have to mean

that we can define the Japanese text by using labels such as 'first-' and 'third-person narration.' Furthermore, even in translation this change of person is feasible only at the very beginning of the diary. In fact, just within the first of the three books that comprise the diary five more instances where the narrator refers to herself as *hito* ('one,' 'person') occur. This use of *hito* contrasts with the 'pronouns' *ware* and *waga*, although they are rather few when compared to a Western diary: the first part of the 'Kagerō no nikki,' which consists of 71 pages in the Katsuranomiya manuscript (56 pages in the SNKBT edition), contains no more than 24 instances of *ware* or *waga* ('my') that are used to refer to the narrator/protagonist—approximately one every three pages of manuscript.[15]

In all of the five instances where *hito* is used, the narrator/protagonist is juxtaposed to other characters. In four, the narrator refers to her former self as *tomaru hito* とまる人 ('the one who stays'), also shortened to *tomaru wa* とまるは, in contrast to other characters who set out on a journey (e.g. *yuku hito* ゆく人, 'the one departing').[16] In another, she describes herself as 'the one who has consorted [with him] for months and years' (*toshitsuki mishi hito* とし月見し人), with 'him' being her husband Kaneie 兼家, the 'fortunate one' (*saiwai aru hito* さひ(い)はひある人).[17] While these expressions are clearly part of a rhetorical pattern (Balmes 2017, p. 98; 2018, p. 16), this is also true of the diary's first sentence. However, whereas it seemed appropriate to translate the opening with a change from third- to first-person narration, sudden shifts of grammatical person would hardly be tolerated by readers at a later stage in the narrative, or would at least cause confusion. Accordingly, Arntzen uses first-person pronouns in all of these five cases.[18]

With regard to the Japanese text we may thus conclude that positing a change of grammatical person implies a dissonance that was clearly not perceived by Japanese readers. A text that bears some similarity to 'Kagerō no nikki' regarding the shift of perspective at the outset and later references to the narrator's past self in a seemingly unconventional, dis-

tanced way (though not by *hito* but the narrator's/protagonist's name) is the first book of 'Zōki hōshi shū' 増基法師集 ('The Poetry Collection of Master Zōki,' late 10th or early 11th c.), which leads us to similar conclusions (Balmes 2017, pp. 100–102; 2018, pp. 18–23). Therefore, rather than consider shifts of grammatical person a characteristic unique to Japanese literature, it seems more likely that the concept of grammatical person does simply not apply to classical Japanese. Moreover, this discussion somewhat recalls the assumption that changes of tense frequently occur in Japanese literature, a notion that is equally problematic since it too suggests a dissonance that is not perceived by Japanese readers (ibid., p. 23). In fact, it has even been questioned to what degree the grammatical category 'tense' may be applied to classical Japanese.[19]

As has become apparent from the above discussion, from what perspective a Japanese text is narrated depends only partly on the use of so-called personal pronouns. Just as important when deciding the person in which to translate the text are particles and verbal suffixes, or even their relative absence. We already encountered *-nan*, a combination of the two verbal suffixes *-nu* expressing certainty and conjectural *-mu*/*-n*. Another example is *-ki*, which often appears in attributive position as *-shi*, such as in the first words of the 'Kagerō no nikki,' *Kaku arishi toki sugite* ("Thus the time has passed"), as well as in *suginishi toshitsuki-goro* ("the months and years gone by") and *toshitsuki mishi hito* ('the one who has consorted [with him] for months and years'). Since the beginning of the twentieth century, the function of *-ki* has been traditionally seen as marking the recollection of an event the speaker has participated in or witnessed (Shirane 1994, pp. 222–223). Although there are cases in which the speaker relates events that he did not experience himself, so that *-ki* may rather serve to mark the truthfulness of the account (Oda 2015, p. 150), the traditional definition seems to aptly describe the function of *-ki* in the above examples. We may also note that all of these examples concern the pas-

sage of long periods of time. In so far as *-ki* marks the position of the narrator, it foregrounds her experience and the act of recollection.

According to Genette (1986, p. 244), the author does not choose "between two grammatical forms, but between two narrative postures (whose grammatical forms are simply an automatic consequence)." By 'grammatical form' Genette is of course referring to person. The above discussion of the 'Kagerō no nikki' suggests that the 'narrative postures' found in Japanese narrative differ from those of literature in Indo-European languages in that they are not mutually exclusive and there is no particular grammatical form that derives as a consequence of a certain 'posture' and is required to remain the same throughout the whole text (Balmes 2017, p. 102; 2018, p. 22). Also, it can be doubted that 'narrative posture' is limited to two forms—otherwise the gradual shift of perspective that Arntzen pointed out in the beginning of 'Kagerō no nikki' as well as the use of both *-ki* and the rather distanced *hito* in *toshitsuki mishi hito* could not be explained. Although Genette states that a 'posture' is chosen before the narrative is verbalized, his assumption that there are only two 'narrative postures' betrays the fact that in Genette's theory they are clearly based on grammar (person).

### 2.2 The Narrator of 'The Tale of Genji'

In the light of the above discussion of the problem of grammatical person, it comes as no surprise that even the narrator(s) of the 'Genji monogatari,' who is/are believed to be quite prominent in comparison to those of other works of *monogatari* literature, hardly refer(s) directly to herself/themselves. While Stinchecum (1980, p. 381) holds that in *sōshiji* "the narrator addresses the reader directly," this hardly seems to be the case when comparing 'Genji monogatari' to European medieval literature, such as the following lines of 'Iwein' (ca. 1200) by Hartmann von Aue:

> Ich machte des strîtes vil
> mit worten, wan daz ichn wil,
> als ich iu bescheide (‘Iwein,’ ll. 1029–1031)
>
> I could tell of the fight in many words, but I don’t want to, as I will explain to you.

The narrator of ‘Iwein’ states that he will refrain from telling certain events, at least in detail, which is similar to the ‘Yūgao’ narrator’s comment quoted at the beginning of section 2.1, but despite this parallel in content, their language differs fundamentally. Unlike the narrator(s) of the ‘Genji monogatari,’ Hartmann’s narrator not only repeatedly uses the pronoun *ich* (‘I’), but directly addresses his listeners and readers as *iu* (‘you’)—a device not found in premodern Japanese literature. In ‘Genji monogatari,’ there are, however, rare instances where the narrator, instead of going into details, states that one ‘should imagine’ something, such as the following quote from the chapter ‘Otome’ 少女 (‘The Maidens’): *Ōn-fumi no uchi omoiyaru beshi* 御文のうち思ひやるべし (‘It should be imagined what was in the letter’; SNKBT 20: 312).[20] Even though this can hardly count as a direct address of the audience when compared to ‘Iwein,’ in the earlier ‘Ochikubo monogatari’ 落窪物語 (‘The Tale of Lady of the Low Chamber,’ late 10th c.) there is one instance where the imperative form of the verb omoiyaru (‘to imagine’) is used: *Kakazu to mo, gishiki, arisama omoiyare* 書かずとも、儀式、有様思ひやれ (‘I will not write it down, but imagine the sight of the ceremony’; SNKBZ 17: 338).[21]

Although the lack of personal pronouns and, as a consequence, the directness of address we encounter in European medieval literature might suggest that in Japanese literature the narrator is less visible, that conclusion seems somewhat rash. In fact, the narrator’s presence is apparent even in those parts of the text that are not considered *sōshiji* by Japanese scholarship. This becomes clear when taking a look at the opening sen-

tence of 'Kiritsubo' 桐壺 ('The Paulownia Pavilion'), the first chapter of the 'Genji monogatari':

> いづれの御時にか、女御、更衣あまたさぶらひ給ひける中に、いとやんごとなき際にはあらぬがすぐれてときめき給ふ有けり。('Genji monogatari,' SNKBT 19: 4; emphasis added)
>
> *Izure no ōn-toki ni ka, nyōgo, kōi amata saburai-tamaikeru naka ni, ito yangotonaki kiwa ni wa aranu ga sugurete tokimeki-tamau arikeri.*
>
> In a certain reign (whose can it have been?) someone of no very great rank, among all His Majesty's Consorts and Intimates, enjoyed exceptional favor. ('The Tale of Genji,' trans. Tyler, p. 3)

The abbreviated question[22] by the narrator wondering in whose reign the events took place creates a narratorial presence that is obvious even in translation. Because of this narratorial presence, the beginning of the sentence actually has been discussed in the context of *sōshiji*, even though it is not usually regarded as one.[23] But apart from this, there are other indications of narratorial presence that concern the 'narrative posture' of the passage and cannot be retained in translation (or only in ways that would draw more attention to them than appropriate). The first is easily explained: the auxiliary verb *-tamau* expresses respect towards the subject, which thus cannot be the speaker herself. The second one is *-keri*, a verbal suffix whose functions have been the object of much debate.

In contexts such as the above quote, *-keri* is traditionally assumed to signal that the narrator has not experienced the recounted events himself but has heard or read of them. This explanation goes back to Hosoe Ikki 細江逸記, who in 1932 described *-ki* and *-keri* in a way similar to Turkish *-di* and *-miş*, with *-ki* marking personal or 'attested recollection' (*mokuto kaisō* 目睹回想) and *-keri* marking 'transmitted recollection' (*denshō kaisō* 伝承回想) (Oda 2015, p. 147). It has also been argued that *-keri* expresses a certain distance of a spatial, temporal, and/or psychological kind, referring to events that are not connected to the narrating instance, while simultaneously bringing them into the present (Shirane 1994,

pp. 223–224; Itoi 2018, p. 5; Okada 1991, pp. 38–39). Therefore, *-keri* creates a "quality of presence or immediacy" ('The Tale of Genji,' p. xxviii [introduction by Tyler]), but also serves to mark the perspective of the narrator (Itoi 2018, pp. 5, 18).

Since *-keri* is commonly employed in narratives, Oda Masaru (2015, p. 153) subdivides the function under discussion into 'transmitted past' (*denshō kako* 伝承過去) and 'narrative past' (*monogatari kako* 物語過去). However, even though most *monogatari* texts were considered fiction, they were often criticized for inventing stories.[24] Against this backdrop, the notion of transmission, by which the author could reduce his responsibility concerning the truthfulness of the tale, was of vital importance and would certainly not have been given up easily (see also Okada 1991, pp. 41–42). Tales were told *as if* the narrator gave an account of real events he or she heard about. Because of this gesture of the narrator it does not seem contradictory that *-keri* marks something one has heard or read of and at the same time indicates fictionality. To what degree *-keri* can be termed 'past tense' within the context of narrative is yet another question (see also the discussion of Käte Hamburger's concept of the 'epic preterite' in note 19).

As a consequence of linguistic characteristics such as the ones elucidated above, the narrator is almost always present in premodern Japanese narrative, though somewhat faint. Narratorial presence is conceived fundamentally differently from the way it is in European or modern Japanese literature. The language of modern Japanese novels has no equivalent of *-keri*, and their narrators do not use honorifics when referring to fictive characters.

Besides narratorial presence, the narrator's identity seems to be constructed differently as well, although the 'Genji monogatari' is considered exceptional in this regard. It is widely accepted that the 'Genji monogatari' is told by a variety of narrators (Jinno 2016a, p. 130). It has been argued that it cannot be one omniscient narrator, since at the beginning of the

chapter 'Takekawa' 竹河 ('Bamboo River') the narrator explains that her account is based on what she has heard from old women who have served Higekuro 鬚黒 in the past and that their story differs from that of the former servants of Lady Murasaki (Murasaki no Ue 紫上) (SNKBT 22: 252; 'The Tale of Genji,' trans. Tyler, p. 805; the latter point is made clearer in Oscar Benl's German translation 'Die Geschichte vom Prinzen Genji,' vol. 2, p. 403). The narrators, to whom individual parts of the 'Genji monogatari' are ascribed, are distinguished through the knowledge required to tell the events in question (see Mitani 2002, p. 19) and through certain linguistic signs. The best-known example for the second type is the beginning of the first chapter 'Kiritsubo.' It continues as follows:

> はじめより我はと思ひ上がりたまへる御方〴〵、めざましき物におとしめそねみ給ふ。同じ程、それよりげらう（ふ）の更衣たちはまして安からず。
> ('Genji monogatari,' SNKBT 19: 4; emphasis added)

> *Hajime yori ware wa to omoiagari-tamaeru ōn-katagata, mezamashiki mono ni otoshime-sonemi-tamau. Onaji hodo, sore yori gerō no kōi-tachi wa mashite yasukarazu.*

> Those others who had always assumed that pride of place was properly theirs despised her as a dreadful woman, while the lesser Intimates were unhappier still. ('The Tale of Genji,' trans. Tyler, p. 3)

It has been pointed out that the narrator uses honorific expressions when referring to the emperor's consorts (*nyōgo* 女御), who received the third court rank and higher, but not when referring to the 'intimates' (*kōi* 更衣) of fourth rank or lower. It is often concluded that the narrator holds the fourth rank, while the father and husband of the author of the work, Murasaki Shikibu, only received fifth rank. But apart from the assumption that the narrator is an assistant handmaid (*naishi no suke* 典侍)[25] because of her court rank (Mitani 2002, p. 17; see also Bowring 1988, p. 59), we know nothing about her. We should also note that in the preceding sentence quoted on p. 72 the honorific *-tamau* refers to both consorts and intimates, and that the predicate (*yasukarazu*, 'not at peace,' translated

by Tyler as 'unhappy') that refers to the intimates alone is an adjective and as such cannot be combined with honorifics. As Murakami Fuminobu (1998, p. 14) has put it: "In sentences with verbs or suffixes at the end, the narrator can take a stance by means of using or omitting honorifics, whereas in [a] sentence with an adjective at the end s/he cannot do so." Nevertheless, Mitani Kuniaki (2002, p. 18) reads this passage as an introduction of a personalized narrator, which he describes as a 'hypostasis' (*jittai-ka* 実体化). While this may seem nearly as exaggerated as to speak of the 'birth of the 'narrator'' ("'katarite' no tanjō〈語り手〉の誕生"; Mitani 1978, pp. 41–42), it shows how exceptional personalized narrators are in the context of early Japanese narrative.

Some doubts remain as to whether the author of the 'Genji monogatari' really intended a fragmentation of narrative voice as complicated as (re)constructed by modern scholars. An important impetus for studies in this vein has been Tamagami Takuya's 玉上琢彌 theory of three levels of narrators (in his terminology still 'authors,' *sakusha* 作者), which he developed in the 1950s and which remains influential even today. According to Tamagami, (1) old ladies-in-waiting (*furu-nyōbō* 古女房 or *furu-gotachi* 古御達) who experienced or heard about the events recounted in the tale would tell them to other ladies-in-waiting. (2) These would write down the tale and finally, (3) another group of ladies-in-waiting would recite the text while adding their own impressions and evaluations (Tamagami 1966, pp. 253, 256; see also Masuda 1989; Stinchecum 1980, pp. 375–376; Murakami 1998, p. 3). The third group of narrators results from Tamagami's assumption that *monogatari* tales were read aloud. This theory, which he named *monogatari ondoku ron* 物語音読論, is based on his argument that before 'The Tale of Genji' *monogatari* were first written by men in Chinese characters, and afterwards recited by women. According to Tamagami, the early *monogatari* texts known to us are records of such performances (Tamagami 1966, pp. 147–148, 251–252). He gives some quotes suggesting that *monogatari* were performed orally (ibid.,

pp. 151, 154), but admits that his theory cannot be proven (ibid., pp. 154, 247).

Although Tamagami's proposal was met with much approval (ibid., p. 248), there has also been substantial criticism, particularly by Nakano Kōichi (1972, first published in 1964). Nakano examines the narrator of the 'Genji monogatari' by focusing on *sōshiji* similar to those that have been central to Tamagami's theory (Nakano 1972, pp. 204, 209, 212).[26] Nakano distinguishes between two types of *sōshiji* which treat the narrated events either as something the narrator has seen or heard herself, or something that has been transmitted (ibid., pp. 204–208; Nakano speaks of 'postures,' *shisei* 姿勢, which is the term that is also used for 'narrative posture' in the Japanese translation of Genette's 'Narrative Discourse'; see Genette 1985, p. 287). However, Nakano (1972, pp. 206–207) points out that not everything that is narrated could actually be seen or heard by someone. Furthermore, he concludes that speculation by the narrator indicates that details are left out on purpose. Thus, the aforementioned types of *sōshiji* are merely techniques of this narrator whom Nakano describes as 'omnipotent' ("zennōsei o motte ori 全能性をもっており"; ibid., p. 208)—an expression that perhaps should rather be replaced with 'omniscient' (*zenchi* 全知), though both terms are derived from theology.

While Nakano still uses the term 'author' (*sakusha*), Konishi Jin'ichi speaks of the narrator (although he employs a somewhat unusual expression, *jusshu* 述主) but deconstructs Tamagami's model in a less radical way. Konishi (1971, p. 48) criticizes that Tamagami does not distinguish between a narrator inside the text as a fictive character and a real person reading the text aloud. He therefore rejects the third level of Tamagami's model (see also Masuda 1989, p. 167) and contends that the 'Genji monogatari' is told by a primary narrator whose account is based on the report of several secondary narrators (Konishi 1971, p. 46–47; 1986, pp. 337–338). Moreover, with regard to primary narration he argues that the 'Genji monogatari,' like all fictional tales (*tsukuri-monogatari* 作り物語) of the

Heian period, is narrated from an 'omniscient point of view' (Konishi 1971, pp. 45, 50–52), even though this 'omniscience' can be toned down through (interrogative) conjectures or other *sōshiji* (ibid., pp. 51–54). Yet, while we may assume that the narrator gains information from old ladies-in-waiting, or is at least suggesting this, it is at no point in the text evident that these informants are actually *speaking*, i.e. narrating. This is true of the beginning of 'Hahakigi' 帚木 ('The Broom Tree') and the ending of 'Yūgao,' which frame the so-called *Hahakigi sanjō* 帚木三帖 ('Three Hahakigi Chapters') and are frequently quoted to support the assumption of several narrators (e.g. Mitani 1978, pp. 45–46; 2002, pp. 48–50), and this is also true of the ending of the chapter 'Yomogiu' 蓬生 ('A Waste of Weeds'), where according to Konishi (1986, p. 337) only the last two moras *to zo* that mark the account as based on external information may be attributed to the primary narrator. Just because the text suggests that old ladies-in-waiting had transmitted (narrated) the story, this does not mean that they are narrators in the sense in which this term is used in textual analysis, i.e. that the narrative represents their *words*.

While the distinction between primary and secondary narration is certainly useful with regard to the genre of *rekishi monogatari* 歴史物語 ('historical tales') or even noh theater, especially dream plays (*mugen nō* 夢幻能) (see the paper by Takeuchi Akiko in this volume), it does not apply to 'Genji monogatari' in the way suggested by Tamagami's theory. Thus, by retaining the first two levels of Tamagami's model Konishi mistakes the narrator's sources of information for narrators, mingling voice and knowledge.

Knowledge, however, is closely connected to perspective, which in Japanese research on premodern literature is often equated with voice. For instance, Mitani (2002, p. 19) uses the expressions 'multilayeredness of grammatical person' ("ninshō no tasōsei 人称の多層性") and 'multiperspectivity' ("ta-shiten 多視点") interchangeably. In Japanese, the distinction between voice and perspective is complicated by the fact that certain

subjective expressions are considered to always refer to the speaker in conversational context (see Murakami 1998, pp. 1, 12–14, 20–21 on 'sensation/emotion adjectives').[27] While it does not seem appropriate to call their use in so-called 'third-person' narratives "ungrammatical" (Murakami 1998, p. 14; 2009, p. 84)—after all, free indirect speech is also not described in this way, although it only occurs in literary texts—they undoubtedly testify to the close relationship between voice and perspective (and serve to enhance experientiality[28]). However, since knowledge does not pertain to linguistic aspects of perspective, it can easily be distinguished from voice.

To mistake the function of the narrator's sources for that of the narrator herself may in fact be more misleading than the third level of Tamagami's model rejected by Konishi, which perhaps should not be dismissed so easily. In the Heian period, texts like 'Genji monogatari' were not easily accessed, and it was a common practice to copy texts one had managed to borrow from someone else during the process of reading (Bowring 1988, p. 82). While copying small alterations were made to the texts, either consciously or inadvertently, so that hardly a manuscript exists that is completely identical to another. In Tamagami's theory, people copying a text are treated in the same way as those reciting it, both belonging to the third level of narration (Tamagami 1966, pp. 148, 252).

It can be difficult to decide if several narrators should be distinguished according to the historical formation of the text, or if it is more appropriate to assume only one narrator for the final text as one single macro speech act. In narratology the latter approach prevails (and this is also the approach taken by Nakano and Konishi), but narratological theory has developed around the classical novel—a type of literature that is created by only one author. In contrast, narrative prior to the emergence of print culture constantly changes in the course of transmission. Yet, the text of the 'Genji monogatari' does not allow a distinction of a plurality of narrators on linguistic grounds. With regard to Tamagami's third level of narra-

tors Jinno remarks that the language of the 'Genji monogatari' as a whole is modeled after oral narration, so that the text cannot be divided into written and oral parts (Jinno 2016a, p. 14). In this context it may therefore be safer not to change Tamagami's 'authors' to 'narrators.'

The problem of to what extent the process of production should be taken into account for narratological analysis becomes more pertinent when we turn to texts such as the 'Tosa nikki' 土左日記 ('The Diary of [the Governor of] Tosa,' ca. 935) by the renowned poet Ki no Tsurayuki 紀貫之 (–945). Although it is commonly accepted that the events are told by a female narrator, indications of the narrator's gender are extremely few (Balmes 2017, p. 110; 2018, p. 35). It is believed that the 'Tosa nikki' is based on notes that Tsurayuki made during the journey. Since several passages appear more natural if ascribed to the voice of the former provincial governor, the character based on Tsurayuki himself, the question arises whether it is appropriate to assume a female narrator for the text as a whole, even though Tsurayuki might well have added her at the final stage of compilation. There seems to be no definite answer to this question (Balmes 2017, pp. 111–115; 2018, pp. 38–40). Instead, it depends on the theoretical background of the study to be carried out.

The narrators of the 'Genji monogatari' are considered exceptional because they appear to have a 'personality.' All the same, they are never mentioned explicitly in the text, for those that are mentioned are no narrators in the narratological sense but mere sources of information. But even if we make this distinction, and even if we assume only one narrator, we can infer that she is a lady-in-waiting (*nyōbō* 女房) (see Konishi 1971, p. 46). Jinno (2016, p. 17) argues that this is also apparent from the fact that the narrator frequently leaves the words and actions of particularly high-ranking characters to the imagination of the readers, suggesting the limited field of perception of a lady-in-waiting.

Mitani (1978, p. 42) claims that the 'personalized' narrators (*katarite* 語り手, as opposed to the nonpersonalized narrator as a textual function,

to whom he refers by the term *washa* 話者, 'speaker'), who first appear in the 'Genji monogatari,' result from the structure of classical Japanese, since in prose the unnamed subject is often marked by the degree of honorific language. By this degree the narrator reveals his/her social place in relation to the characters in the narrative. Since this suggests that the narrator belongs to the same world as the fictive characters (although removed in time), he/she may to some degree be regarded as 'homodiegetic.' But tales commonly considered to have a heterodiegetic, omniscient narrator, such as the anonymous 'Taketori monogatari' 竹取物語 ('The Tale of the Bamboo Cutter,' early 10th c.), are subject to the same linguistic requirements. It has been pointed out that 'Taketori monogatari' contains no honorifics at the beginning, while their number gradually increases towards the end of the work. Furthermore, the use of honorific expressions regarding the protagonist Kaguya-hime かぐや姫 does not seem to follow specific rules (Mitani 1978, p. 43). Nevertheless, no one has tried to explain these contradictions by introducing the notion of different narrators, which raises the question of how justified the attempt to discern numerous narrators really is if this approach should be appropriate only for 'Genji monogatari.' Nakano (1972, pp. 210–211) already criticized the way 'Genji monogatari' tends to be treated as special, and urged to study 'Genji' within the context of the *monogatari* tradition. Rather, we may conclude that there is hardly a narrator in premodern Japanese literature who is truly heterodiegetic.

Despite attempts to explain the narrator(s) of the 'Genji monogatari' as entities with limited knowledge, Nakano and Konishi have correctly pointed out that the narrator's knowledge exceeds the amount of information that can be acquired in the context of Tamagami's three-layered model. This suggests that the narrator is neither clearly 'homodiegetic' nor 'heterodiegetic' in the mutually exclusive sense in which these terms are usually understood. While the narrator is in some way involved in the diegesis (story world) by obtaining information from characters who wit-

nessed the narrated events, she obviously displays heterodiegetic features as well. Rather than consider this an exceptional feature of the 'Genji monogatari,' it seems reasonable to conclude that the terms 'homodiegetic' and 'heterodiegetic' are not completely applicable to premodern Japanese narration.

A better way to describe this kind of narrator may be Kendall L. Walton's concept of 'reporting' and 'storytelling narrators.' 'Reporting narrators' give the impression that they recount real events (at least real to them), i.e. events that are part of the same narrative level as the narrator, whereas 'storytelling narrators' suggest that they invent the story they tell. In contrast to Genette's concept of 'homodiegetic' and 'heterodiegetic' narrators, which is based on an ontological distinction, Walton's theory allows a blending of 'reporting' and 'storytelling narrators' (Walton 1993, pp. 368–372, esp. note 19). This indicates that Genette's postulation of only two 'narrative postures,' implicitly related to grammatical person, is over-simplistic not only with regard to premodern Japanese literature, but to literature in general—although this does not change the fact that in classical Japanese 'narrative posture' may be expressed in a particularly nuanced fashion.

The reason that this hybrid sort of narrator comes into being in Japanese literature is not only the convention to use honorifics but also, and perhaps even more importantly, the need to legitimize one's narrative by suggesting that the story was not invented but transmitted. As far as the narrator of 'The Tale of Genji' reveals her sources, her tendency to 'report' is somewhat stronger than in preceding *monogatari*. Her (fictive) informants may well even be described as personalized forms of *-keri*.

## 3. Narrative Mood

Regarding narrative mood, Genette distinguishes 'distance' and 'perspective,' both of which are closely connected to the way narrated events are perceived by readers or listeners. Since the concept of distance requires

more revision than perspective regarding its application to premodern Japanese narrative, we will first discuss perspective. This change of order is also justified by the fact that in Japanese narrative, or perhaps even narrative in general, distance is not defined by narratorial voice to a greater extent than perspective.

### 3.1 Perspective

According to Genette's theory, the perspective of a text is defined by its use of focalization. A text segment is focalized internally, i.e. on a character, if the knowledge of the narrator equals that of a certain character in the story. In segments externally focalized, the narrator knows less than the characters, thus appearing as an observer who can only report what the characters do or say, but not what they feel or think. If the narrator's knowledge exceeds that of the characters and he freely describes the thoughts and emotions of different characters, there is zero focalization. This stance is typical for the so-called omniscient narrator (Genette 1986, pp. 188–190).

While Genette's theory of focalization has been influential, there are a few problems that need to be addressed. First of all, the differentiation between 'internal' and 'external,' which is also central to many other narratological models of perspective, is not altogether clear (Zeman 2018, pp. 183–186). But what is even more important is that Genette fails to accept the narrator as an entity who may serve as a focalizer himself—to borrow a term from Mieke Bal, who attributes a more active role to the characters, so that the narrative is not focalized *on* but *through* a character (Bal 1983, p. 241). In fact, from the viewpoint of cognitive linguistics, the narrator as a level of perspective is always present, and the perspective of a character can only be represented within this frame. Thus, the perspective of a given character and that of the narrator do not alternate; instead the perspective of the character is necessarily embedded within that of the narrator (Igl 2018, pp. 133–135, 137–138; see also Zeman 2016,

pp. 28–32). The degree to which the narrator's point of view is perceptible to the reader may of course vary.

With regard to the analysis of literary texts, perspective is most relevant when text passages are focalized through individual characters. The term focalization, as it is used in this article, implies that the perspective of a character is perceptible for a certain stretch of narrative—not only through one or two words. Throughout the focalized passage the perspective of the narrator may not disappear altogether, but it is the perspective of a character that is foregrounded.

A certain perspective cannot only be marked by the amount of knowledge displayed, but also by specific linguistic means. We have already encountered a few examples in our discussion of 'narrative posture.' A character's point of view is often introduced by narrated perception, mostly expressed by the transitive verbs *miru* ('to see') and *kiku* ('to hear') as well as by their intransitive counterparts *miyu* ('to appear/to be seen') and *kikoyu* ('to be heard'). In focalized passages we might expect deictic expressions pointing to the place of the character, such as *konata* ('here'), *anata* ('there'), or *ku* ('to come,' especially as an additional verb marking the direction of an action). However, while deictic expressions seem to be relatively rare, much more frequently verbal suffixes marking different types and degrees of speculation are employed, e.g. *-mu*, *beshi*, *meri*, *-kemu*, and *ramu*. Furthermore, the suffix *nari* expresses that something is heard, but it too can be used to mark speculation. The great variety of verbal suffixes expressing conjecture serves as an effective device to enhance focalization. The nuances carried by them cannot be conveyed as easily in modern Japanese.

A more significant difference concerns the presence (i.e., perspective) of the narrator. It has already been mentioned that a subtle but steady narratorial presence is created by verbal suffixes such as *-keri* and by honorifics. In passages that are focalized through a certain character in the story these expressions are reduced. The short tale 'Hanazakura oru

shōshō' 花桜折る少将 ('The Lieutenant Plucks a Sprig of Flowering Cherry'), probably written in the eleventh century and contained within the 'Tsutsumi chūnagon monogatari' 堤中納言物語 ('The Riverside Counselor's Stories'), serves as a fine example since the first third of the text is very clearly focalized through the protagonist. The text starts in the following way:

> 月にはかられて、夜ふかく起きにけるも、思ふらむところいとを(ほ)しけれど、[...] ('Tsutsumi chūnagon monogatari,' SNKBT 26: 4; emphasis added)
>
> *Tsuki ni hakararete, yo fukaku okinikeru mo, omou ramu tokoro itōshikere-do, [...]*
>
> Deceived by the moon, he had gotten up in the middle of the night. What might she think? He felt sorry for her, but [...][29]

In accordance with narrative conventions of the time, *-keri* is used at the beginning of the text, thereby clearly marking the narrator. It is immediately followed by a verb to which the conjectural suffix *ramu* is attached, voicing the thoughts of the protagonist: *omou ramu* ('[What] might [she] think?' or '[How] might [she] feel [about him leaving so early]?'). *Itōshi* ('pitiful,' here translated as 'He felt sorry for her') belongs not only to the category that Murakami (1998) calls 'sensation/emotion adjectives' (Jp. *jōisei keiyōshi* 情意性形容詞; see Hijikata 2010, p. 176), but more specifically to the kind of adjectives that, while referring to someone or something else, at the same time express the speaker's attitude or feelings (see ibid., pp. 177–179; Murakami 1998, pp. 15–16). After the above quote, *-keri* is no longer used[30] and all verbal suffixes that mark speculation can be ascribed to the protagonist, which is suggested by verbs of perception. The focalized part, apart from direct speech, contains only one honorific expression: *notamau* のたまふ ('he said'; SNKBT 26: 5). This reminds us that the perspectives of the narrator and the protagonist are not mutually exclusive, and that the perspective of the protagonist is embedded within that of the narrator.

The end of the focalization through the protagonist is marked by the sudden use of the honorific auxiliary verb *-tamau* that continues throughout the rest of the text. In the following quote, expressions that indicate focalization are emphasized by dotted and wavy lines.

> みなしたてて、五六人ぞある。下るゝほどもいとなやましげに、これぞ主なるらむとみゆるを、よくみれば、衣ぎぬかけたるやうだひ(い)、さゝやかに、いみじう児めいたり。ものいひたるもらうたきものの、ゆう／＼しく聞こゆ。「うれしくもみつるかな」と思ふに、やう／＼あくれば、帰り給ぬ。
>
> 日さしあがるほどに起き給て、よべの所に文書き給ふ。('Tsutsumi chūnagon monogatari,' SNKBT 26: 6; emphasis added)

> *Mina shitatete, gorokunin zo aru. Oruru hodo mo ito nayamashige ni, kore zo shū naru ramu to miyuru o, yoku mireba, kinuginu kaketaru yōdai, sasayaka ni, imijū ko-meitari. Mono iitaru mo rōtaki mono no, yūyūshiku kikoyu. "Ureshiku mo mitsuru kana" to omou ni, yōyō akureba, kaeri-tamainu.*
>
> *Hi sashiagaru hodo ni oki-tamaite, yobe no tokoro ni fumi kaki-tamau.*
>
> Five or six people appeared, all dressed to go out. Apparently much distressed as she descended the stairs was the one who must have been the mistress, or so it appeared to him; and as he regarded her carefully, the tiny figure with her mantelet thrown back struck him as ever so childlike. And while her speech was pretty too, it also impressed him with its elegance.
> "How lucky I am to have seen her!" he thought, and as day was beginning to dawn he took himself home.
>
> He awoke to a sun shining high in the sky and wrote a letter to the lady with whom he had stayed the night before. ('The Riverside Counselor's Stories,' trans. Backus, pp. 15–16; emphasis added)

There can be no doubt about the focalization through the protagonist, which is indicated by verbs related to perception (*miru*, *miyu*, *kikoyu*). All of these verbs are used within the context of a man secretly observing a woman, a so-called *kaimami* 垣間見 ('peeking through the fence') scene. The perspective of the protagonist is also marked by the conjectural suffix *ramu* and expressions referring to his impression of the woman (*nayamashige*, "apparently [...] distressed," and *ko-meitari*, "struck him as [...] childlike"). While all of these (marked by dotted lines in the above

quote) are rendered into English in the translation by Robert L. Backus, the auxiliary verb *-tamau* cannot be translated—at least not without over-emphasizing its function. Thus, the sudden presence of the narrator is lost in translation.

Admittedly, there are other, more subtle indicators of focalization that are also not reflected in Backus's translation: the deictic *kore* ('this'), especially in conjunction with the emphatic particle *zo*, prompting Inaga Keiji to enclose the phrase *kore zo shū naru ramu* in quotation marks (SNKBZ 17: 389), treating it as direct thought ('This seems to be the mistress'). Moreover, even though *rōtashi* ("pretty") belongs to the subclass of *ku* adjectives that in most cases refer to an objective state (see Frellesvig 2011, pp. 90–92), it shows semantic similarities to *itōshi*. In fact, dictionaries use this exact word to explain its meaning, which is also described as 'to feel the wish to look after a child or woman' ('Shōgakukan Zenbun zen'yaku kogo jiten'; NKD; KKD). Therefore, *rōtashi* clearly has to be considered a 'sensation/emotion adjective,' contributing to the focalization through the protagonist.

Since honorifics indicate that the speaker is talking about someone else, text segments lacking honorifics (i.e., the social perspective of the narrator) are sometimes regarded as being told in the first person—in this vein, the first third of 'Hanazakura oru shōshō' has been described as 'first person-like' (*ichininshō-teki* 一人称的; Jinno 2017, pp. 54, 56, see also p. 58 for a critical stance towards this expression). Therefore, passages like the one quoted above contribute to the aforementioned tendency of Japanese scholars to equate voice with perspective. Yet, while verbs such as *miru* may signal focalization through a character without entailing a change of voice, other linguistic means do not allow a clear-cut distinction between voice and perspective. We do not necessarily have to assume that the voice is that of the character whenever we encounter a 'sensation/emotion adjective.' Deictic expressions, however, are more clearly pertaining to voice.

Genette (1986, pp. 186–188) argues that voice and mood are to be strictly separated, which has in fact been an important reason for the popularity of his concept of focalization (Schmid 2011, p. 142). While it is certainly true that by defining focalization through the knowledge of the narrator Genette himself suggests a connection between voice and mood (ibid.; Broman 2004, pp. 61–62), we can find many examples of narrators who use words the characters themselves might choose. Of course, this phenomenon is by no means limited to Japanese literature, as is apparent from the discussion of free indirect speech (or free indirect discourse), where no distinction between voice and perspective can be made. Moreover, if the 'linguistic point of view' (Schmid 2010, p. 115) of a character is foregrounded, this does not necessarily mean that the narrator has changed—thus, we can still safely distinguish the informants from the narrator(s) in 'Genji monogatari.' Yet, the theoretical problem of the relationship between voice and mood remains. Eva Broman (2004, p. 80) has aptly pointed out that the "separation of *voice* and *mood* is just as misleading as earlier point of view theories, which tended to conflate the two aspects."

### 3.2 Distance

The term narrative distance refers to the relationship between story and discourse (Genette 1986, p. 168), which in turn causes the listener or reader to feel a certain degree of closeness or distance to the narrated events (Martínez/Scheffel 2016, p. 50). The concept of narrative distance has received not nearly as much attention as point of view, i.e. perspective (a recent exception is Köppe/Singer 2018). This results from distance being almost exclusively defined by the degree of narratorial presence,[31] which is discussed either in studies of narrative voice or within the context of perspective. In fact, it could be argued that if distance is defined by narratorial presence alone, it is nothing more than a subset of perspective and does therefore not constitute an independent category. However, we

will put this theoretical objection aside for now, and examine the concept of distance through the analysis of Japanese texts.

Traditionally, distance has often been dealt with in the context of speech representation, starting with Plato's 'Politeia' ('The Republic,' Book III, 392–394), where he has Socrates distinguish between 'simple narrative' (*haplê diêgêsis*) and 'imitation' (*mimêsis*). Because direct speech is supposed to contain only the exact words of a character (therefore constituting 'imitation'), there is basically no distance between the narrative and the reader, who feels as if he himself observes the conversation. In the case of indirect speech, the choice of words is still that of the character, but tense, deictic expressions, and syntax are regulated by the mediating narrator. The largest distance is achieved through narrated speech, in which the narrator sums up the speech of a character. Smaller and larger distance has also been termed 'dramatic/narrative mode' and 'showing/telling.'

However, if it is assumed that the degree of narrative distance corresponds to the degree of narratorial presence, 'Hanazakura oru shōshō' is highly contradictory. For the most part, the last two thirds of the text contain dialogue consisting of short utterances. Although this suggests small narrative distance, the narratorial insertions between the characters' speeches contain a considerable number of honorific expressions that clearly emphasize the presence of the narrator, such as the verbs *notamau* ('to say') and *obosu* ('to think') as well as the auxiliary verb *-tamau*. If we rely on a definition according to which distance corresponds to narratorial presence, there appears to be a strange tension between short segments either 'narrative' or 'dramatic.' Yet, it seems hard to imagine a reason why this tension should be intended.

Genette (1986, p. 166) names narrative speed as a second criterion through which distance can be measured. High narrative speed results in a style similar to a summary and thus in the perception of larger distance. On the other hand, if the events are told slowly and with many details, the

reader feels less distant from them and is more likely to be immersed in the narrative. The 'Hachirō'[32] tale in the mid-fourteenth-century 'Shintō-shū' 神道集 ('Anthology of the Way of the *Kami*') is clearly divided into parts with high and low narrative speed. Among these, the following quote is the slowest passage, i.e. the one with the highest density of narrative information concerning a small amount of time in the narrated world.

既ニ高井ノ岩屋ニ付ツヽ、宗光贄ヘノ棚ニ昇テ、北向ニ坐ツヽ、水精ノ軸シタル法花經ヲ[→ノ]紐ヲ解キ、打挙ゝゝ讀誦セラル。良且ク有セテ、大虵ハ石ノ戸ヲ押開テ出タリ。其ノ体タヲ見ルニソ怖シケレ。首ハ真ノ漆ヲ以テ七ケ八ケ塗タルカ如シテ、眼ハ赤雲ケル提[→縗]ヲ闇（ユ[→ヱ]リ）ハメタルニ似リ。口ニハ銖ヲ差シタルカ如シ。外ソニテ見ルニ身ノ毛弥ヨ立テ怖キニ、倍シテ宗光ノ心ノ内推量セラレテ哀レ也。而トモ宗光ハ少シモ恐タル氣色モ无クシテ、御經ヨリ外ハ眼省ル方モ无シ。(Akagi-bunko-bon 'Shintōshū,' p. 378 [vol. 8, fol. 16ᵛ]; emphasis added)

*Sude ni Takai no iwaya ni tsuketsutsu, Munemitsu nie no tana ni nobotte, kitamuki ni suwaritsutsu, suishō no jiku shitaru Hokekyō [n]o himo o toki, uchiage uchiage dokuju seraru. Shibaraku arasete, daija wa ishi no to o oshi-hirakite idetari. Sono karada o miru ni zo osoroshikere. Kubi wa shin no urushi o motte shichika hachika nuretaru ga gotoku shite, me wa aka-gumoikeru tei [?] o [e]ri-hametaru ni nitari. Kuchi ni wa shu o sashitaru ga gotoshi. Yoso nite miru ni mi no ke iyoiyo tate osoroshiki ni, mashite Mune-mitsu no kokoro no uchi suiryō serarete aware nari. Shikaredomo Munemi-tsu wa sukoshi mo osoretaru keshiki mo naku shite, on-kyō yori hoka wa me kubaru kata mo nashi.*[33]

Having arrived at the cave in Takai, Munemitsu climbed upon the immola-tion platform. He sat facing North, untied the cord [of a copy of] the Lotus Sūtra with a crystal roll and recited it with his voice raised. After a while, the giant serpent pushed open the stone door and came out. The sight of its body was frightening. The neck seemed to have been brushed seven or eight times with real lacquer, and the eyes resembled inlaid red, [like the] red [evening sun shining through] clouds. The mouth seemed as if vermilion had been ap-plied. While one's body hair already stands up in fright when seeing it from afar, how much more pitiful is it to imagine Munemitsu's feelings. But Mune-mitsu did not show the slightest sign of fear, and except for the sūtra there was no direction in which he cast a look.

This passage is remarkable in how it makes us believe that the giant serpent's appearance is depicted from the point of view of the protagonist—because who else should be observing it? After the narrator invites us to imagine Munemitsu's 宗光 fear, he finally discloses that Munemitsu does not even look up from the text he is reading, leaving us to realize that the preceding lines have not really been focalized through him. Although this sort of play is highly exceptional, it seems to be the rule that the presence of the narrator is obvious even in those passages with the lowest narrative speed.

Presumably, the tales of the 'Shintōshū' were intended to be performed orally, and while this seems to have resulted in the presence of the narrator being particularly striking, the example of 'Hanazakura oru shōshō' suggests that a certain degree of narratorial presence was considered natural. Genette's (1986, p. 166) explanation of "mimesis being defined by a maximum of information and a minimum of the informer, diegesis by the opposite relationship" does not seem to apply to premodern Japanese narrative, since the quantity of narrative information and the degree of narratorial presence do not appear to be "in inverse ratio." Interestingly, Genette observes that Marcel Proust's 'À la recherche du temps perdu' ('In Search of Lost Time,' 1913–1927) is highly 'mimetic,' although the narrator is constantly present (Genette 1986, p. 167). He calls this effect "mediated intensity" (ibid., p. 168). At least in the 'Shintōshū,' where the presence of the narrator is created not only by honorifics and verbal suffixes but by strong evaluations, the intensity of the narrative seems not so much to decrease because of the mediation of the narrator as the intensity of its experientiality is enforced by his evaluations. In the sense that the narrator intensifies experience he does not appear to be an obstacle to small narrative distance.

As mentioned above, the concept of narrative distance is applied particularly in the context of speech and thought representation. This approach proves somewhat problematic regarding Japanese literature. First

and foremost, direct and indirect speech are often not grammatically distinct since there is no change of tense or syntax. Deictic expressions may provide important hints, but great care is required because most deictica are demonstratives that may also serve as anaphora, referring to something that has already been named (e.g., *sono*), and 'pronouns' are not only hardly used but are also often not restricted to one grammatical person. Moreover, there are no quotation marks in premodern Japanese manuscripts. If an utterance contains interjections or other indicators of orality, it may be taken as direct speech, and if it contains honorifics referring to the 'original' speaker, it may be considered indirect speech. But if neither is the case, which is likelier the shorter the utterance is, the distinction of direct and indirect speech is mostly arbitrary. If we compare different editions of the same text, we may notice that the classification of speech and thought representation may differ considerably.

For instance, the phrase *naniwaza suru naran to yukashikute* なにわさするならんとゆかしくて (Takamatsunomiya-bon 'Tsutsumi chūnagon monogatari,' pp. 86–87) is left this way in Ōtsuki Osamu's edition (SNKBT 26: 51), while Inaga Keiji adds quotation marks (SNKBZ 17: 446; for a similar example, see section 3.1). Corresponding to the latter interpretation, Robert L. Backus translates: "'What can they be doing?' he thought curiously" ('The Riverside Counselor's Stories,' p. 119). Although Ōtsuki appears to be quite careful, editors of premodern Japanese literature generally tend to consider almost anything followed by a quotation particle (*to*, *tote*, *nado*) direct speech. The following example from 'Tosa nikki' illustrates how confusing the results of this practice can be. This quote, which is written exclusively in phonographic script (*kana* 仮名) in the Seikei-shooku 青谿書屋 manuscript (p. 35 [fol. 10$^{r}$]), contains quotation marks within quotation marks in both the SNKBT (24: 9) and the SNKBZ (13: 23) editions, as well as in the more recent edition by Higashihara Nobuaki ('Shinpen Tosa nikki,' p. 30) inspired by Mitani Kuniaki's

*gensetsu bunseki* 言説分析 (‘discourse analysis’; see the introduction to this volume).

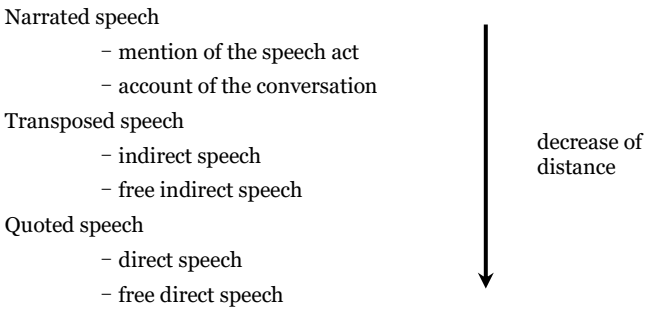
> 「「罷らず」とて立ちぬる人を待ちて詠まむ」とて求めけるを [...] (‘Tosa nikki,’ SNKBT 24: 9; emphasis added)
>
> *“‘Makarazu’ tote tachinuru hito o machite yomamu” tote motomekeru o [...]*

Helen Craig McCullough has translated the clause in a more natural way:

> “I’ll wait for the gentleman who went away. He said he wasn’t leaving.”
> Someone went in search of the man, but [...] (‘A Tosa Journal,’ trans. McCullough, p. 270)

The lack of a clear distinction between different types of speech representation and the relative obscurity, among Japanese scholars, of the concept of narrated speech have caused some scholars to interpret segments of narrated speech as indirect speech. For instance, Mitani (1978, p. 49) classifies the phrase *Yorozu no koto o naku naku chigiri-notamawasure-do* よろづのことを泣く / \ 契のたまはすれど (‘Under tears he promised her all kinds of things, but [...]’; ‘Genji monogatari,’ SNKBT 19: 7) as indirect speech (*kansetsu wahō* 間接話法), although *yorozu no koto* (‘all kinds of things’) is clearly not a direct quote but an expression the narrator uses to summarize what has been said.[34] The designation of narrated speech as indirect speech in turn appears to have strengthened the tendency to interpret anything followed by the particle *to*, *tote*, and *nado* as direct speech, without considering the possibility of indirect speech. Stinchecum (1980, pp. 376–377) adheres to this rule with regard to classical literature, whereas in her discussion of modern Japanese she does not (see ibid., p. 378). It is, however, not plausible why this rule should only apply to classical texts—or even apply at all, for that matter.

Martínez and Scheffel (2016, p. 66) present a detailed account of different types of speech representation in relation to narrative distance:




This chart shows that direct speech and indirect speech are not the only categories to be taken into account. In fact, direct and indirect speech are not even next to each other regarding narrative distance, with free indirect speech placed between them. The same holds true for free direct and free indirect speech, which are not always distinguishable, as the following quote demonstrates:

> 別當恵美僧正急キ上洛シテ、事ノ由ヲ委細ニ奏聞セラルレハ、帝ハ大ニ御逆鱗有テ、国ヲ鎮シト下シタル甲斐无。伽藍堂舎ヲ亡ス条不思議ナリ。北陸道ノ末、佐渡ノ嶋ニ流ラレ[→流サル][35]ヘキ由ノ、追立ノ儉 [→検/檢] 非違使等遣シ下サルヽ。(Akagi-bunko-bon 'Shintōshū,' p. 336 [vol. 7, fol. 17ᵛ]; emphasis added)
>
> *Bettō Emi [no] sōjō isogi shōraku shite, koto no yoshi o isai ni sōmon serarureba, mikado wa ōki ni go-gekirin atte, kuni o shizumen to kudashitaru kai nashi. Garan dōsha o horobosu jō fushigi nari. Hokurikudō no sue, Sado no shima ni naga[saru] beki yoshi no, oitate no kebiishi nado tsukawashi-kudasaruru.*
>
> The abbot Emi no Sōjō hastened up into the capital and gave [the Emperor] a most detailed account of what had happened. The Emperor was very infuriated; it had been in vain to send [Yukitaka] down to bring peace to the province. It was inconceivable that he had destroyed the buildings of the temple complex. He should be exiled to the island of Sado at the end of the North Land Road; with this order he dispatched, among others, a *kebiishi* for eviction.

The noun *yoshi* 由, which refers to the content of an utterance (here translated as 'this order'), marks the end of the narrated (summarized) order by

the emperor. Yet, the evaluation of Yukitaka's 知隆 deeds does not seem to be part of the order. We can therefore conclude that a quotation particle has been omitted. In Japanese, quotation particles can assume a function similar to that of tag clauses in Indo-European languages, since a verb is not necessarily required to mark an utterance. Above, the emperor's evaluation is translated as free indirect speech, but considering that it contains no verbal suffixes or honorifics signaling the narrator's presence, it could also be interpreted as free direct speech. Referring to Martínez's and Scheffel's chart, the emperor's evaluation may either create smaller or larger distance than direct speech, which is situated between free indirect and free direct speech. Thus, focusing on speech representation it is not possible to classify the distance in this particular example as either average or extremely small.

This paradox suggests that it may not be valid to take speech representation as a criterion when analyzing distance in premodern Japanese narrative. It seems to me that that the degree of detail or narrative speed, the second criterion in Genette's definition, promises much more reliable results when determining narrative distance. Moreover, by defining distance in this way it is not only easier to apply in textual analysis, also the objection that distance is a mere subset of perspective cannot be raised.

## 4. Conclusion

It is my hope that I have drawn attention to some linguistic characteristics of classical and medieval Japanese narrative. To sum it up briefly, the concept of grammatical person seems not helpful for the analysis of Japanese texts because pronouns are seldom used and many of them are not limited to one grammatical person. While the presence of the narrator in Japanese texts therefore seems faint at first glance, verbal suffixes and auxiliary verbs serve to create a constant narratorial presence. The regulation of this kind of presence, strong in quantity while weak in quality, plays a crucial part in focalization. The example of 'Hanazakura oru

shōshō' shows how *-keri* and *-tamau* emphasize the perspective of the narrator, whereas the lack of such expressions intensifies focalization through a character. At the same time, these nuances, although vital for comprehending premodern Japanese narrative, cannot be translated into Indo-European languages. On the one hand, translations adhering to Western linguistic and literary conventions, which entail the necessity to choose a grammatical person and to name a subject, construct new narrative versions that are much clearer in meaning compared to the original Japanese texts.[36] But on the other hand, expressions marking changes of perspective or 'narrative postures' are often lost entirely, depriving the text of features vital to the narrative.

Besides first- and third-person narration, there are other basic concepts of classical narratology that also do not seem to apply to premodern Japanese narrative, particularly the opposition of 'homodiegesis' and 'heterodiegesis.' The use of honorifics with regard to fictive characters suggests that the narrator belongs to the same reality as the characters in the story. At the same time, the narrator's knowledge clearly exceeds that of the characters. A more accurate way to describe the narrators in premodern Japanese literature is Kendall L. Walton's distinction of 'reporting' and 'storytelling narrators.' These categories do not refer to the ontological status of the narrator and are therefore not mutually exclusive. The hybrid nature of Japanese narrators can be traced back not only to linguistic conventions, especially the use of honorifics, but also to premodern conceptions of literature, since fictionality was deemed problematic and narrators were expected to mask their tales as accounts of real events that they heard or read of. In this sense, the ladies-in-waiting informing the narrator of the 'Genji monogatari' may even be regarded as personalized forms of *-keri*.

In premodern Japanese texts, narrative distance appears to be defined mainly by narrative speed, while the presence of the narrator does not necessarily lead to large distance. Speech representation as a criterion

measuring narrative distance seems to be valid only under certain circumstances. This in turn leaves us with the question of whether there is a historical and/or cultural difference, not only regarding degrees of narrative distance but also the way distance functions, or whether distance as a universal concept has to be reconsidered. I have proposed to define distance only through the second criterion named by Genette, i.e. narrative speed, which relates to the degree of detail in a given text segment. This allows us to deal with narratorial presence within the context of perspective, without distance becoming a subset of perspective and therefore superfluous as a category of its own.

As stated at the outset, this article is concerned only with basic linguistic conditions of Japanese narrative and the implications these may have for definitions of narratological concepts. A more comprehensive theory of Japanese narrative would also have to account for plot structures, the representation of characters, and issues pertaining time and space. For this it would also be necessary to draw clearer distinctions between historical periods, genres, and individual texts. Moreover, while this study uses modern narratological theory as its framework, it would be intriguing to contrast its premises and conclusions with historical conceptions of narrative as we may find them in medieval commentaries on Japanese classics.

## Notes

1 There have, for instance, been attempts to create a typology of premodern forms of speech representation, such as Stinchecum 1980. But, as will be shown below (p. 92 and note 34), certain aspects of this model remain problematic.

2 This article draws on research for my doctoral thesis, which explains the issues discussed here in greater detail and has been submitted to LMU Munich under the title ‘Narratologie und vormoderne japanische Literatur. Theoretische Grundlagen, Forschungskritik und sprachlich bedingte Charakteristika japanischen Erzählens’ (‘Narratology and Premodern Japanese Literature. Theory, Critique of Research, and Linguistic Characteristics of Japanese Narrative’) in March 2019. While in Genette’s theory ‘mood’ is generated by ‘distance’ and

'perspective,' I further propose 'determinacy' as an additional category of particular importance to Heian-period (794–1185) prose, in which the grammatical subject is not always clear. It seems that a poetic effect could be created by deliberately leaving the subject of an action, speech, thought, feeling, or perception indistinct. I argue that, whereas distance concerns the quantity of narrative information and perspective its quality (Genette 1988, p. 43), determinacy marks its degree of coherence.

3 The translations of chapter titles from 'Genji monogatari' are those by Royall Tyler ('The Tale of Genji,' 2003).

4 As in the case of *itōshi* いとをし, which is usually written *itōshi* いとほし, the standardized old orthography is given in brackets in the following quotes from SNKBT.

5 Cf. Murakami Fuminobu's expression 'person-less sentences' (Murakami 2009, pp. 81, 84, 89). The term *muninshō* has also been used by Fujii Sadakazu 藤井貞和, for instance in a 1994 article (Yoda 2004, p. 165). Tomiko Yoda's translation "zero-person" is somewhat unfortunate, since Fujii later distinguishes, among others, between *muninshō* and *zeroninshō* ゼロ人称—though his theory itself is problematic, as Jinno Hidenori's points out in his paper in this volume.

6 Jinno 2016b, pp. 107–108, 115, 117. See also Jinno's article in this volume, as well as Balmes 2017, pp. 99, 101–102; 2018, pp. 12, 16–18, 21–23. Yoda also questions the applicability of grammatical person to classical Japanese narratives, arguing that *ware*, commonly regarded as a first-person pronoun, in the 'Kagerō no nikki' かげろふの日記 (see below) refers to the protagonist without pointing to the speaker of the discourse or suggesting the identity of the two (Yoda 2004, pp. 186–204, esp. pp. 196–197). See note 15.

7 Speaker ('first person'): *a*, *wa*; addressee ('second person'): *na*; interrogative: *ta*. In addition, Lewin gives the 'third-person pronoun' *shi*, but since this is a demonstrative which can also refer to inanimate objects (see p. 65), it is hardly appropriate to consider it one of the 'real personal pronouns' ("echte[] Personalpronomen"; Lewin 2003, p. 8).

8 The transliteration follows the interpretation given in SNKBZ 1: 45. Since it is not altogether clear how the predominantly Sinographic text of the 'Kojiki' was transposed into spoken Old Japanese, Japanese 'readings,' which are strongly influenced by the work of early modern scholars, particularly Motoori Norinaga 本居宣長 (1730–1801), remain mere interpretations (Antoni 2012, pp. 389–390, 393–394).

9 This use of *mikoto*, which was then written 尊, seems to be somewhat restricted since both 'Nihon kokugo daijiten' (NKD) and 'Ōbunsha Zen'yaku kogo jiten' quote examples from the 'Konjaku monogatari shū' 今昔物語集 ('Collection of Tales Now Long Past,' early 12th c.), while 'Kadokawa Kogo daijiten' (KKD), although being more detailed than the dictionary by Ōbunsha, does not give this function at all. It would appear exaggerated to consider *mikoto* addressing the listener a pronoun.

10 In a more specific sense, Classical Japanese refers to the standardized written language (*bungo* 文語) that is mostly based on twelfth-century spoken Japanese (Frellesvig 2011, p. 2).

11 The term *setsuwa* refers to a wide range of texts, such as folk tales, Buddhist legends, and historical anecdotes. In general, they were transmitted orally before being written down and are didactic in nature.

12 The quoted manuscript, the Akagi-bunko-bon 赤城文庫本 dating from the year Meiō 3 (1494), is somewhat ambivalent regarding whether it should read *on-mi wa* or *on-mi ni*. I opted for the alternative easier to comprehend, *wa* also being the particle that is used in Edo-period (1603–1868) manuscripts that have *waga mi wa* without *on-* ('Shintōshū. Tōyō-bunko-bon,' p. 231; 'Shintōshū. Kōno-bon,' p. 114). The scribe of the Shōkōkan-bon 彰考館本, an exact copy of the Akagi-bunko-bon, chose to write *ni* rather than *wa* (Shōkōkan-bon 'Shintōshū,' p. 329 [vol. 7, fol. 20r]), and Okami Masao and Takahashi Kiichi also read *ni* in their transcription of the Akagi-bunko-bon ('Shintōshū,' p. 213). This version stresses the corporeal quality of *on-mi*, which also means 'body' (a literal rendition of *waga on-mi ni* would be 'on his body'). Be that as it may, whether we read *wa* or *ni* has no implications for the function of *waga*.

13 This is the title as it is suggested at the end of the first book in the diary itself: *kagerō no nikki to iu beshi* かげろふの日記といふべし (SNKBT 24: 94), "this could be called the diary of a mayfly or the shimmering heat on a summer's day" ('The Kagerō Diary,' trans. Arntzen, p. 163). While *kagerō* can mean both, the title on manuscripts is usually written 'Kagerō nikki' 蜻蛉日記 with the Chinese characters for 'mayfly.'

14 This is also the case in the version printed in Tenroku 10 (1697) by the publisher Tennōjiya Gen'emon 天王寺屋源右衛門 (online in the National Diet Library [NDL] Digital Collections), which was closely followed by later editions such as the one published in Hōreki 6 (1756) by Yasui Kahē 安井嘉兵衛 (online in the NDL Digital Collections; also online on the website of the Waseda University Library).

15 This count includes one instance of *waga mi* (‘myself,’ ‘my body’), which in dictionaries is treated as an expression of its own. For detailed references, refer to Balmes 2017, pp. 99, 116–117; 2018, p. 16. Yoda (2004, pp. 187–189) stresses that *ware* always refers to the protagonist, usually considered the narrator’s former self, and never to her present self. This also seems to be true for *waga*, although for an expression such as *waga ie* わが家 (‘my home’; section 20, SNKBT 24: 51; in the facsimile of the Katsuranomiya manuscript, see p. 14 [vol. 1, fol. 7$^{v}$]) this distinction can hardly be made. Following Fukazawa Tōru 深澤徹 and taking up Tokieda Motoki’s 時枝誠記 somewhat simplistic distinction between objective nominals (*shi* 詞) and subjective verbal suffixes and particles (*ji* 辞), Yoda argues that in ‘Kagerō no nikki’ *shi*, including words that are usually considered personal pronouns, only point to the narrator’s former self, while her present perspective is only expressed by *ji* (ibid., pp. 189–190, 192–193). However, in her discussion of instances where the narrator uses *hito* to refer to herself (ibid., pp. 185–186) she overlooks several examples, including *toshitsuki mishi hito* とし月見し人 (‘the one who has consorted [with him] for months and years’; SNKBT 24: 67; see below in the main text). This expression clearly refers to the narrator’s present self, which is also reflected in modern Japanese translations (SNKBZ 13: 129–130; see also p. 287 of Kawamura Yūko’s translation) as well as in the translation by Arntzen (‘The Kagerō Diary,’ p. 113). It does not seem plausible that only *-shi* (see below in the main text) should point to the narrator’s present self whereas *hito* should refer to her past self, although her present self is the subject of the sentence.

16 The expression *tomaru hito* is used in sections 9 and 15 (SNKBT 24: 44, 48), *tomaru wa* in sections 47 and 49 (SNKBT 24: 74, 76). *Yuku hito* is employed in sections 9 and 47. The numbers follow those in Kagerō nikki zenchūshaku 蜻蛉日記全注釈, ed. by Kakimoto Tsutomu 柿本奨, vol. 1, Tōkyō: Kadokawa shoten 角川書店 (Nihon koten hyōshaku, zenchūshaku sōsho 日本古典評釈・全注釈叢書), 1966. In the facsimile of the Katsuranomiya manuscript, see pp. 7, 12, 44, 47 (vol. 1, fols. 4$^{r}$, 6$^{v}$, 22$^{v}$, 24$^{r}$).

17 Section 39 (SNKBT 24: 67). See p. 35 of the facsimile of the Katsuranomiya manuscript (vol. 1, fol. 18$^{r}$).

18 “I, the one who is to stay” (‘The Kagerō Diary,’ trans. Arntzen, p. 67); “I who am to be left behind” (p. 73); “Despite my having consorted with this most fortunate man for months and years” (p. 113); “I” (p. 123); “as for me who was to stay behind” (p. 125).

19 Applying the category 'tense' to classical Japanese literature easily leads to confusion. For instance, H. Richard Okada (1991, pp. 18, 35–37, 41) has argued that Japanese is 'tenseless' when no verbal suffixes such as *-ki* and *-keri* are used. Yet, his concept of 'tenselessness' is contradictory because he both distinguishes it from and equates it with the present tense (see ibid., esp. p. 179). His use of the present tense in translations from Heian-period texts is criticized by Haruo Shirane (1994, p. 225) as a "serious distortion" that creates "a sense of deviance that does not occur when reading Heian narratives in Japanese." Nevertheless, this contradictory approach can sometimes be seen in other, more recent studies as well, such as Murakami 2009. Itoi Michihiro also contrasted *-keri* with historical present tense (*rekishiteki genzaihō* 歴史的現在法) in a 1987 article (Itoi 2018, pp. 12, 15), but took an opposite view in 1992 (ibid., p. 28)—it would have been desirable to revise the older article for its republication in 2018. While tense as a grammatical category has sometimes been rejected with regard to Japanese altogether (e.g. Matsumura 1971, p. 549), this is by no means the consensus among linguists. However, it seems to me that it is not helpful to refer to a fluctuating tense in narratological discussion of Japanese texts, let alone to translate in a way that creates contradictions by pretending to be more exact than is possible. We can neither translate a Japanese text into a European language without making choices regarding person and tense, nor is there a way to adequately reflect the Japanese TAM (tense–aspect–mood) system. Furthermore, before one contrasts *-keri* with 'tenselessness,' one should consider the sense of 'immediacy' *-keri* creates (see pp. 72–73 of this paper) and perhaps also note Käte Hamburger's concept of the 'epic preterite,' according to which the preterite loses its temporal function in 'third-person' narrative and instead serves to mark the narrative as fiction (Hamburger 1980, pp. 63–78). In fact, Bruno Lewin (2003, p. 162) in his grammar describes the function of *-keri* as 'epic preterite,' although he does not explicitly refer to Hamburger or give her book as a reference, nor does he question *-keri* as past tense. It is, of course, not my intention to propose that we transfer Hamburger's concept onto *-keri*, or uncritically accept her theory, for that matter. Yet, even if one does not assume the loss of past tense in fiction altogether, her argument cannot be dismissed that easily, and the parallels to Japanese narrative seem worth considering.

20 Another example occurs in the chapter 'Makibashira' 真木柱 ('The Handsome Pillar'):

> そのほどのありさま、言はずとも思ひやりつべきことぞかし。(‘Genji monogatari,’ SNKBT 21: 144)
>
> *Sono hodo no arisama, iwazu to mo omoiyaritsu beki koto zo kashi.*
>
> “All this is easily imagined, though, and there is no need to insist.” (‘The Tale of Genji,’ trans. Tyler, p. 543)

I did not use Tyler’s translation for the quote from ‘Otome’ because he adds the pronoun ‘you’ (“You can imagine what his letter was like”; p. 396).

21 Only the last two of the eight manuscripts that were compared by Fujii Sadakazu (SNKBT 18: v) contain the phrase *kakazu to mo* かゝすとも, the other six write かすとも, which does not appear to make sense (SNKBT 18: 288, note 2).

22 When the particle *ka* is used, the predicate has to be used in the attributive form, but *arikeri* at the end of the sentence is given in the final form. Thus, we may conclude that *arikemu* was omitted after *ka*, corresponding to the first phrase in the later variants of the mid-tenth century ‘Ise shū’ 伊勢集 (‘Poetry Collection of Lady Ise’): *Izure no ōn-toki ni ka arikemu* いつれの御時にかありけむ, ‘In whose reign could it have been?’ (Mitani 2002, p. 45; see also Mostow 2004, pp. 144–145 on the opening of ‘Ise shū’).

23 Mitani Kuniaki (2002, pp. 44–45) classifies the clause as a ‘*sōshiji* of doubting’ (*ibukashigari no sōshiji* 訝しがりの草子地). Furthermore, Nakanoin Michikatsu’s 中院通勝 (1558–1610) ‘Mingō nisso’ 岷江入楚 (1598), which compiles the content of preceding commentaries on the ‘Genji monogatari,’ contains the following remark in an explanation of a *sōshiji*: ‘Same as the phrase: In whose reign can it have been?’ (*Izure no ōn-toki ni ka to iu kotoba to onaji* いづれの御ときにかといふ詞とおなじ). Thus, Michikatsu interprets the first sentence of the ‘Genji monogatari’ as a *sōshiji* (ibid., p. 44). However, it is not quoted in Enomoto Masazumi’s (1982) list of 1,062 *sōshiji* that are designated as such in at least one of 32 premodern and modern commentaries.

24 The ‘Mumyōzōshi’ 無名草子 (‘The Nameless Book,’ between 1196 and 1202) names 29 fictional but only two factual *monogatari* (Konishi 1986, p. 252). On the belief that stories should not be made up, see Balmes 2015. The following quotes taken from the beginning and the end of ‘Hanada no nyōgo’ はなだの女御 (‘The Flower Ladies’), a short narrative which was probably written in the eleventh century and is contained within the ‘Tsutsumi chūnagon monogatari’ 堤中納言物語 (‘The Riverside Counselor’s Stories’), serve as a good example for a narrator stressing the truthfulness of her tale (although there is also the pos-

sibility that the second quote is a comment that was added by someone who copied the tale):

> 「そのころの事」と、あまたみゆる人まねのやうに、かたはらいたけれど、これは聞きし事なればなん。(‘Tsutsumi chūnagon monogatari,’ SNKBT 26: 72)
>
> *“Sono koro no koto” to, amata miyuru hitomane no yō ni, katawara itakeredo, kore wa kikishi koto nareba nan.*
>
> I feel silly starting off with the phrase, “Once it happened that...,” the way so many people begin a story, but I do so because it is something I heard about that happened. (‘The Riverside Counselor’s Stories,’ trans. Backus, p. 167)

> これらつくりたるさまもおぼえず、よしなきもののさまを、そら事にもあらず。世の中に、そら物がたり多かれば、誠ともや思はざるらむ。これ思こそねたけれ。(‘Tsutsumi chūnagon monogatari,’ SNKBT 26: 81)
>
> *Korera tsukuritaru sama mo oboezu, yoshinaki mono no sama o, soragoto ni mo arazu. Yo no naka ni, sora-monogatari ōkareba, makoto to mo ya omowazaru ramu. Kore omou koso netakere.*
>
> Nor do these things appear to have been invented. What nonsense they sound like! But at the same time they are not falsehoods. Because there are so many fictional tales in the world, I fear that you do not believe this story to be true. It is certainly annoying to think that that is the case! (‘The Riverside Counselor’s Stories,’ trans. Backus, p. 183)

25 A female official in the Palace Attendants Bureau (*naishi no tsukasa* 内侍司), which received requests for audiences with the emperor, transmitted imperial orders, and was responsible for ceremonies in the empress’ palace (*kōkyū* 後宮).

26 Tamagami 1966 discusses *sōshiji* on pp. 150–152 and 254–261. Yet, he refrains from using the term *sōshiji* and rather opts for expressions such as ‘remarks on omissions or of evaluative nature’ (“shōryaku hihyō no kotowarigaki 省略批評のことわり書き”; p. 252), even though he uses the old terms for speech and thought, *kotoba* 詞 and *kokoro* 心 (pp. 253, 257), and his theory contributed to a reevaluation of medieval commentaries (Jinno 2016a, p. 130).

27 See also Shirane’s (2005, pp. 98, 115–116, 124) comments on *-mu*, *beshi*, and *-ji*, according to which the subject is the first person if the suffixes are used to express an intention.

28 The concept of ‘experientiality’ was introduced to narratological theory by Monika Fludernik (1996). According to her theory, experientiality is what constitutes narrativity, so that the two terms can be used interchangeably. Other authors have argued that while every narrative requires experientiality, this

concept alone is not sufficient to define narrativity (Caracciolo 2014, pars. 1, 9–10).

29 Robert L. Backus translates this phrase somewhat more freely: "Deceived by the moon into thinking it was dawn, he had risen in the depths of night from the bed where she must still be lying, wondering why he had gone, alas [...]" ('The Riverside Counselor's Stories,' p. 13).

30 *-keri* appears once in the non-focalized text (SNKBT 26: 8) and twice at the end of the text, where the narrator evaluates the outcome of the story (SNKBT 26: 9–10).

31 Tobias Klauk and Tilmann Köppe (2014, pars. 13–20) summarize seven ways in which narrative distance, or 'showing' and 'telling,' have been defined. If we exclude the last definition, which is based not on the text but on the reader, there is only one that cannot be traced back to narratorial presence: the second criterion in Genette's model (see below). For an analysis of the different definitions, see my dissertation (note 2).

32 The full title is 'Kōzuke no kuni Nawa Hachirō no daimyōjin no koto' 上野国那波八郎大明神事 ('On Hachirō no Daimyōjin of Nawa in Kōzuke Province'). It is the forty-eighth chapter of the 'Shintōshū,' contained within the eighth volume. For a translation of the whole chapter, see Dykstra 1978, pp. 75–79.

33 The transliteration reflects the corrections that I made in the original text.

34 Stinchecum also seems to interpret narrated speech as indirect speech. As one example of indirect speech she quotes the phrase *ito meyasuku ureshikaru beki koto ni omoite* いとめやすくうれしかるべきことに思て (SNKBT 23: 227), which she renders into English as "she feels it to be a highly proper and pleasing thing" (Stinchecum 1980, p. 376). Thus, Stinchecum opts for narrated speech in her translation herself, instead of using indirect speech: 'she feels (that) it is [...].' On the problems that arise when employing the present tense in translations of Japanese literature, see note 19.

35 Since *nagarare* is not grammatical, it should be changed to *nagasaru* (causative-passive).

36 Even if we have no doubts about the subject being a 'third person,' the gender—another grammatical category absent in Japanese—implied by the pronoun gives an important clue to which character the narrator refers to. While in theory it is possible to employ the passive voice to avoid mentioning the subject, the resulting translation would undoubtedly be considered fairly strange by its readers and cause an effect not aimed for by the author. Also, the passive voice already existed in the Japanese language, even if it was relatively seldom used

until the influence of Western languages led to its increase at the end of the nineteenth century. Before the modern period, the verbal suffixes *-ru* and *-raru*, which were used to indicate the passive voice (a function that probably derived from their original function to signal spontaneity or, in Lewin's [2003, pp. 152–153] words, 'medium'), mainly served as honorific expressions.

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### Abbreviations

NKD Nihon kokugo daijiten 日本国語大辞典
KKD Kadokawa Kogo daijiten 角川古語大辞典
SNKBT Shin Nihon koten bungaku taikei 新日本古典文学大系
SNKBZ Shinpen Nihon koten bungaku zenshū 新編日本古典文学全集

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# The Fusion of Narration and Character Voices in Noh Drama

## A Narratological Approach to Zeami's God Plays and Warrior Plays

*Abstract.* In medieval Japanese noh theater, narration is chanted on stage and often fuses with characters' speeches. This paper aims to examine how this fusion affects the stage–audience relationship, first by applying theater semiotics and narratology, and then by analyzing specific cases in Zeami's warrior plays and god plays. In god plays, the ambiguity of the addresser tends to be sustained, and the praise of the god's benevolence is directly delivered to the audience by a voice that bears the authority of narration, while human-centered warrior plays usually minimize the intervention of the narrator. The study thus reveals Zeami's careful handling of the narrative style in accordance with the plays' socio-religious purposes.

### 1. Introduction

Narratology was long perceived as a theory meant exclusively for the analysis of narrative texts. Conversely, since the time of Aristotle, drama has almost always been defined in the West as a performative and literary genre without narration and thus has been out of the range of narratological studies. Although recent years have witnessed the increasing interest of scholars in the application of narratology on drama studies,[1] the narra-

tology of drama, as Brian Richardson noted in 2001 (p. 682), is still at its beginning phase.

Contrary to the Western theatrical traditions, premodern Japanese theater almost always employed narration to varying degrees depending on the genres. Generally speaking, *kabuki* 歌舞伎, which emerged in the seventeenth century, employs less narration than other genres. *Jōruri* 浄瑠璃 puppetry (a.k.a. *bunraku* 文楽) often encompasses a large quantity of narration, a storytelling technique that originated when the art of puppet manipulation was combined with the distinctive *jōruri* style of storytelling around 1600 CE. Noh drama took its current shape in the late fourteenth century and is located somewhere in between the two genres mentioned earlier: it incorporates more narration than *kabuki*, but less commentary than *jōruri* puppetry.

This trait may make noh, along with *kabuki* and *jōruri* puppetry, most appropriate for the narratological approach of literary critique. However, as anyone who has ever attempted to translate noh plays into another language will testify, the application of narratology to noh drama becomes intriguingly difficult because the speaker of a piece of dialogue (not the physical speaker on stage but the speaker in the narratological sense) is often not made clear in noh texts. Many noh plays contain sections in which narration and dialogues merge and become indistinguishable. This ambiguity is caused by the grammatical characteristics of premodern Japanese, to which Western concepts of grammatical person and tense do not necessarily apply.[2] The noh's theatrical conventions also play a part in the confusion because the physical enunciator of a given line on stage does not necessarily coincide with its narratological speaker. The chorus in noh plays is not a group of *dramatis personae* like the Corinthian women in Euripides' 'Medea'; it is, rather, a group of theater aides who render the dialogues spoken by characters and chant the narrative parts. At the same time, the actors also chant the narration apart from delivering the lines of the characters they play.[3] In other words, noh offers examples that Moni-

ka Fludernik would call "most challenging to narratologists" since these plays "[combine] dramatic and narrational facets in a creative manner" (Fludernik 2008, p. 377).

This paper will analyze this fusion of different voices[4] and narration in noh, attending especially to the god plays (*kami nō* 神能) and warrior plays (*shura nō* 修羅能) by Zeami Motokiyo 世阿弥元清 (1363?–1443?), whose drastic innovations developed the art of noh into its current form. After a brief summary of the socio-religious functions that Zeami aimed to achieve in each of the two types of plays on which this study focuses, the paper will examine the manner in which this ambiguous voice affects the stage–audience relationship. The application of narratology and theater semiotics will facilitate the observation of the particular authenticity and eloquence that a 'narration on stage' can exert on the audience's perception. Subsequently, Zeami's god and warrior plays will be compared to each other in terms of their use of such voice-ambiguous chorus sections.

The analysis accomplished in the present paper will thus demonstrate that Zeami's god plays, created to deliver religious blessings, employ an ambiguous speaker who encompasses the possibility of being an extradiegetic narrator more often than his human-centered warrior plays, where such 'fusion' of voices is often carefully avoided. In other words, the use or non-use of the synthesis of narration and character voices is closely related to the religious functions of the dramatic works. In reforming both categories of noh plays, Zeami carefully manipulated the narrative structures of the plays to suit their newly-established socio-religious purposes.[5]

## 2. Origin and Development of God Plays and Warrior Plays

By the fourteenth century, noh performances usually started with the 'Okina' 翁 ('Old Man'), a ceremonial dance piece featuring gods that evinces minimal dramatic development. This ritual piece was followed by a god play and then by a warrior play.[6] Yokomichi Mario (2000), a renowned noh scholar, notes the analogy between this fixed order of the two

noh categories and the structure of religious festivals in Japan. The primary purpose of such festivals was to bring stability to the community, and this intention was achieved either through the summoning of a benevolent god or spirit, or by the appeasing of a malevolent god or spirit. Yokomichi elucidates that the god play was the theatricalization of the former, and the warrior play represented the dramatization of the latter.

Besides the common religious origin, Zeami's writings suggest that the plays also shared similar types of 'rough' protagonists that represented the fierce supernatural powers of gods and spirits. For example, in 'Monomane jōjō' 物学条々 ('Issues Concerning Role Playing'), the second chapter of 'Fūshikaden' 風姿花伝 ('Teachings on Style and the Flower,' 1402), Zeami's first treatise on noh, he describes the theatrical representation of a god as *onigakari* 鬼掛かり ('demonlike') and also notes that the 'madness of warrior's ghosts in the hellish realm of *shura*[7] easily tends to become demonlike behavior' (*kore tei naru shura no kurui, yaya mo sureba oni no furumai ni naru nari* これ体なる修羅の狂ひ、ややもすれば鬼の振る舞いになるなり; NST 24: 25; translation mine). In the sixth chapter of the same book, 'Kashū' 花修 ('Training in the Flower'), he includes gods and the spirits of warriors in the category of *tsuyoki mono* 強き物 ('rough characters'), together with *oni* 鬼 ('demons') and *araebisu* 荒夷 ('violent barbarians') (NST 24: 50–51).[8]

Thus, both god plays and warrior plays developed into their current, more elegant, and separate styles through Zeami's genre-determining reconstructions. First, he tried to embody the principle of *yūgen* 幽玄, a term signifying profound and refined beauty, in every aspect of the noh performance to meet the aesthetic tastes of his socially high-ranking patrons because it was the dominant aesthetic for the upper circles of his contemporary society. The demonic aspects disappeared from the protagonists in both categories of the noh and an elegant dance began to mark the climax of the plays, whose texts were studded with classical allusions and literary citations.

Warrior plays especially required radical changes to better suit the tastes of the patrons of the time. Given that the shogun, the head of the samurai class, represented the highest social level among the patrons of the art form and that the higher ranking samurai favored the exquisite grace of aristocratic culture, the depiction of warriors as sinners tormented in the *shura* realm would have been viewed as both disrespectful and even insulting. Therefore, the ghost's torment or his religious salvation from that realm is not the primary focus of Zeami's warrior plays; instead, he highlights the more 'human' aspects such as the warrior's noble sentiments, his deep affections, and/or his cultural refinement.

The god plays also went through Zeami's process of sophistication. Their poetic finesse achieved a pinnacle in 'Takasago' 高砂, which dramatizes a well-known phrase in the 'Kanajo' 仮名序 ('Kana Preface') to the 'Kokin wakashū' 古今和歌集 ('Collection of Japanese Poems of Ancient and Modern Times,' 905–913/14), the first imperial anthology of Japanese poetry: 'The pines in Takasago and Sumiyoshi seem to be growing together' (*Takasago, Suminoe no matsu mo, aioi no yō ni oboe* たかさご、すみのえのまつも、あひをひのやうにおぼえ; NKBT 8: 97). The 'Kana Preface,' written by the renowned poet Ki no Tsurayuki 紀貫之 (–945), was greatly revered by later generations as the first treatise on and a canonical defense of Japanese poetry. Innumerable medieval commentaries provided highly allegorical, often religious interpretations on almost each phrase of this text. According to them, the pine trees in Takasago and Suminoe 住江 (an old name for Sumiyoshi 住吉), two loci geographically apart, stand for the two chronologically separated periods which saw the compilation of the 'Man'yōshū' 万葉集 ('Collection of Ten Thousand Leaves,' in the late 8th century), the first Japanese anthology of poetry, and that of the 'Kokin wakashū' respectively; the given phrase as a whole was allegorically interpreted to assert that just as the two periods are one and the same, the flourishing of poetry brings about the peaceful reign identical with an ideal past (SNKS 73: 474–476).

In the play, the spirits of the two pine trees in Takasago and Sumiyoshi appear as an old couple and elucidate the above hidden meaning of the phrase to a traveling priest from the Aso 阿蘇 Shrine in Higo 肥後 Province (in present Kumamoto 熊本 Prefecture). Then the spirit of the pine tree in Sumiyoshi appears as the Sumiyoshi god, who is revered as the god of poetry, and blesses the current reign and the people living in it through his dance. The onstage action thus embodies the symbolic interaction between art and society, aiming to achieve the ultimate goal of noh, which Zeami declares in 'Teachings on Style and the Flower' is to create a peaceful world and to bring pleasure to everyone (NST 24: 14).

Recent studies by Amano Fumio (2007) reveal that apart from such aestheticization of the genre, Zeami's god plays were probably intended to please shoguns, patrons of the arts. On the surface, many of Zeami's god plays commemorate the reign of an emperor; in fact, they encompass possible references to specific auspicious events for the shogunate and depict celebratory messages for it. The aforementioned 'Takasago' is no exception. The play was quite likely aimed at celebrating the historical visit of the representatives of the Aso Shrine to the capital (1422–1424), which meant their allegiance to the shogunate, and glorifying the peaceful reign of the fourth shogun Ashikaga Yoshimochi 足利義持 (1386–1428), who actively enjoyed composing poetry in his literary salon and maintained his political authority even after passing his title to his son in 1423 (Amano 2007, pp. 509–547).

In sum, although the god and warrior plays originated as two dramatical representations that shared the religious objective of achieving peace on earth, Zeami refined them, distinguished them, and separated their goals to fulfill the needs of contemporary patrons of the arts in two discrete ways. While the warrior plays satisfied the aesthetic ideals of their elite audiences by depicting warriors as poetic and refined human beings, the god plays met religio-political demands by bestowing the blessings of the gods on the shogunate. The fourth and fifth sections of this paper will

compare the two categories of plays in terms of the degrees of ambiguity they present in chorus sections apropos the speaker. Such a comparison will aid in the determination of the manner in which the narrative characteristics of the plays contributed to the achievement of their newly set socio-religious goals.

## 3. Narration and Its Fusion with the Voices of the Characters

### 3.1 Examples of 'Clear' Narration

The term 'narration' must be defined before its utilization in the noh is scrutinized. 'Secondary narration' does not matter to the present study. To clarify using Gennetian terms, the secondary or 'metadiegetic narration' refers to a character's retrospective reporting of an incident to another character (such as King Hamlet's ghost telling his son how he was murdered by his own brother). Although such secondary narrations abound in noh plays, especially in dream plays (*mugen nō* 夢幻能) wherein the central event of the plot is retrospectively 'told' to another character by a ghost or a supernatural being, they are also commonly seen in Western drama.

Rather, what is peculiar to noh, as well as to *kabuki* and *jōruri* puppetry, is the use of primary narration delivered by an extradiegetic narrator. This present or past tense account depicts incidents as they occur in the dramatic present just like the 'narration' in novels, epics, and oratorios. However, the premodern Japanese concept of allocating 'tense' to verbs was very different from the Indo-European languages; the use of deictic expressions is scarce and the 'present tense' equivalent can also be used for the description of past events. The translations that follow have been accomplished by the author of this paper. Whenever the original text contained such chronological ambivalence, both interpretations have been recorded, separated by a slash.

This type of primary narration (hereafter, narration) is typically employed at the conclusion of an act in the noh, and describes the disappearance of the protagonist or offers a final commentary on the entire incident, as the following examples indicate.

**Example 1: 'Teika' 定家, the final scene of the first act**

地：くるしみを助け給へと　言ふかと見えて失せにけり　言ふかと見えて失せにけり (SNKS 73: 348)

*JI: Kurushimi o tasuke-tamae to / iu ka to miete usenikeri / iu ka to miete usenikeri*

CHORUS: Please save me from this agony—
Seeming to have said so, she disappeared from sight,
Seeming to have said so, she disappeared from sight.

The chorus comprises six to eight chanters seated to the right of the main stage in full view of the audience. Here, it first chants the protagonist's words, a ghost's plea to a traveling monk. It then turns to narration to describe the ghost's sudden disappearance.

The next example is cited from the last scene of the second act of the noh 'Momijigari' 紅葉狩 ('Autumn Foliage Viewing'). After describing the fight scene between the play's protagonist Taira no Koremochi 平維茂 and a demon, which is enacted on stage in the dramatic present, the chorus describes Koremochi's immediate victory and praises his vigor.

**Example 2: 'Momijigari,' the ending scene of the second act**

地：たちまち鬼神を　従へ給ふ　威勢の程こそ　恐ろしけれ (SNKS 79: 311)

*JI: Tachimachi kijin o / shitagae-tamau / isei no hodo koso / osoroshikere*

CHORUS: He immediately conquers/conquered the demon. How magnificent is his powerful force!

The use of the honorific auxiliary verb *-tamau* attached to the verb *shitagau* ('to conquer') indicates that this cannot be Koremochi's own words;

here the subject of the verb 'to conquer' (namely, Koremochi) is referred to in the third person.

The narration may also occur during the performance of an act. The ongoing activities of the characters in the dramatic present are sometimes described orally by the chorus, and the narration is sometimes also delivered by the very actors who play the characters.

The following is an example from the noh 'Sumidagawa' 隅田川. In this play, a mother, who has traveled all the way from Kyoto to the Eastern province in search of her kidnapped son finally discovers that her son passed away a year ago. In the scene depicted in Example 3, she collapses at his tomb, speechless and in tears, and the *shite* actor (the leading actor) who plays the mother 'narrates' her speechlessness.

**Example 3: 'Sumidagawa'**

シテ：母はあまりの悲しさに　念仏をさへ申さずして　ただひれ伏して泣き居たり (SNKS 73: 185)

*SHITE: Haha wa amari no kanashisa ni / nenbutsu o sae mōsazu shite / tada hirefushite naki itari*

SHITE [MOTHER]: The mother, due to too much despair, cannot even chant the Amida Buddha's name and only prostrates herself, sobbing.

In the original, *haha* ('mother') can be considered either as a common noun (the mother) or as a first-person pronoun, with which the mother refers to herself. Therefore, grammatically speaking, this line can be translated as either a narrator describing the mother in the third person or the mother describing herself. However, its content (speechlessness of the mother) strongly suggests that it is not her own speech within the inter-character communication in this fictional world.

No fixed ratio applies to the narration in the noh plays; dream and non-dream plays particularly demonstrate opposite tendencies. The main events of non-dream plays (*genzai nō* 現在能) unfold in the dramatic

present on stage through interactions among characters. Narration is frequently employed in the descriptions of ongoing scenes, as seen in Examples 2 and 3. In dream plays, on the other hand, the main event of interest is recounted to a living traveler by a ghost, a spirit, or a god; and the primary narration is usually limited to the end of the first and/or second act(s), as seen in Example 1 (all noh plays encompass one or two acts), and all acts do not necessarily end with narration (Yokomichi 1986, pp. 44–45).

Zeami developed the dream play structure in the noh. From a narratological viewpoint, this invention may be interpreted as his attempt to minimize the use of (primary) narration by curtailing events occurring in the dramatic present and instead presenting the main incident through a character's retelling of the incident (secondary narration).

### 3.2 The Fusion of Different Character Voices and Narration

An example from the final scene of the aforementioned god play 'Takasago,' perhaps the most famous of all the noh pieces, will serve to examine the fusion of different voices and narration. In the scene cited below, the Sumiyoshi god, played by a *shite* actor, manifests his true form to a traveling priest played by a *waki* actor (a supporting actor), and performs a dance to celebrate the realm. The linguistic ambiguity brings into play numerous possible interpretations vis-à-vis the identity of the narratological 'speaker' of the chorus parts.

**Example 4: 'Takasago,' ending scene of the second act**

地：ありがたの影向や　ありがたの影向や　月すみよしの神遊　御影を拝むあらたさよ
シテ：げにさまざまの舞姫の　声も澄むなり住吉の　松影も映るなる　青海波とはこれやらん
地：神と君との道直に　都の春に行くべくは
シテ：それぞ還城楽の舞
地：さて万歳の

シテ：小忌衣
地：さす腕には　悪魔を払ひ　納むる手には　寿福を抱き千秋楽は民を撫で万歳楽には命を延ぶ　相生の松風　颯々の声ぞ楽しむ　颯々の声ぞ楽しむ
(SNKS 73: 291–292)

*JI: Arigata no yōgō ya / arigata no yōgō ya / tsuki sumiyoshi no kamiasobi / mikage o ogamu aratasa yo*
*SHITE: Geni samazama no maibime no / koe mo sumu nari Suminoe no / matsukage mo utsuru naru / Seigaiha to wa kore yaran*
*JI: Kami to kimi to no michi sugu ni / miyako no haru ni iku beku wa*
*SHITE: Sore zo Genjōraku no mai*
*JI: Sate Banzei no*
*SHITE: omigoromo*
*JI: sasu kaina ni wa / akuma o harai / osamuru te ni wa / jufuku o idaki Senshūraku wa tami o nade / Manzairaku ni wa inochi o nobu / aioi no matsukaze / sassan no koe zo tanoshimu / sassan no koe zo tanoshimu*

CHORUS: Gracious manifestation of the god! Gracious manifestation of the god! To see the dance of the god under the bright moon—what a miraculous effect!

SHITE [SUMIYOSHI GOD]: Indeed, the clear voices of the various dancing shrine maidens are heard in Sumiyoshi, where the pine trees are reflected on the blue sea; it should be exactly like 'Blue Sea Waves.'[9]

CHORUS: The Way of the gods and the Way of the emperor are both straight, leading to the spring of the capital—

SHITE: Just like the dance of 'Return to the Capital.'

CHORUS: With a wish for an eternal life of the emperor,

SHITE: Dressed in the ritual robe,

CHORUS: A dancing arm held out sweeps away the demon; an arm pulled in holds good fortunes. The dance of 'Thousand Autumns' caresses the people; 'Ten Thousand Years' extends their lives. The sound of the winds blowing through the paired pine trees is pleasing to the ear. The sound of the winds is pleasing to the ear!

The first chorus part seems to be the priest's own exclamation at the god's manifestation. However, the subsequent alternate chanting by the *shite* and the chorus blurs the identity of the speaker of the discourse. Delivered by an unidentified voice that could be the god, the priest, or the narrator,

the last chorus part describes the benediction bestowed on the world through each dance movement of the god.

Naturally, the numerous commentaries and translations of this section evince amazing variation in terms of its interpretation. Sanari Kentarō takes the first two chorus parts to represent the priest's words and considers the third and fourth chorus parts as spoken by the god with the exception of the ending lines that refer to 'the sound of the winds,' which he infers to be narration (Sanari 1930, pp. 1872–1873). Koyama Hiroshi translates the first two chorus parts as words uttered by the priest, but he does not attribute the third and fourth chorus parts to a specific character or a narrator and lets the voice remain undefined (Koyama [et al.] 1973, pp. 64–65). Amano Fumio translates the first, second, and third chorus parts as the priest's words and the entire fourth part as the god's speech (Amano [et al.] 2013, p. 261). These discrete interpretations are all valid, both grammatically and in terms of content.

### 3.3 The Effects of the Ambiguity: Theoretical Observations

How, then, does this ambiguity of voice affect the stage–audience relationship? Invoking theater semiotics, it must first be recalled that the language of theater acquires the peculiar power to control the audience's perception of the actual onstage space (Issacharoff 1989, pp. 157–160). When we 'read' a narrative, we 'imagine' the scene. When we witness a play, we perceive the physical space onstage to be something other than itself: a small bare platform in Tokyo may be perceived as a castle in Denmark; a stage in a baroque theater in Italy could turn into a riverbed in medieval China, even without the help of stage props. A small fan in the hand of an actor may be recognized as a sake cup or a fishing net. These interpretations depend on the manner in which they are verbally described in the play.

Theater semiotics also elucidate that a 'twofold situation of communication' is incorporated into the enaction of a play: the communication

transpiring between the fictional characters on stage, and the real-life communication that occurs between the stage and the audience (Ubersfeld 1999, p. 160). All words uttered on stage by the characters encompass the dual dynamics of 'onstage' and 'stage–audience' communication: they are spoken from one character to another character within the fictional world, while also simultaneously being addressed in real life by the actor to the audience.

These two communication situations are inversely proportional to each other; when a given speech's onstage communication is foregrounded, such as in a character's imperative, plea, or greeting to another character, its stage–audience communication becomes less prominent. On the other hand, when the onstage communication recedes, the stage–audience communication is brought forward. A monologue epitomizes the latter instance: the special 'eloquence' or 'compelling force' that monologues hold for the audience may arguably be attributed to the spotlighted or pronounced stage–audience communication (Sasaki 1982, p. 62). For this same condition to apply to it, narration must be much more 'eloquent' than monologue. While monologues usually represent a character's inner thoughts, narration addresses the audience directly without any onstage communication tools.

Narratology accords another indispensable insight for the comparison between narration and speeches delivered by characters: a piece of narration possesses its own peculiar 'credibility' or 'absolute authority' that is inevitably accepted by a reader. To borrow Seymour Chatman's words, we accept whatever the narration says, as if by "the contract that [we] willingly signed in picking up the book" (Chatman 1978, pp. 250–251), and as a result, "we must accept the given 'fact,' helplessly, as the price we pay if we are to follow the discourse at all" (ibid., p. 210).

To recapitulate these theoretical observations, it may be asserted that onstage narration transforms an audience's spatial cognition with 'abso-

lute authority' while holding audience attention through superior eloquence.

Chatman indicates that a similar effect may be observed when the voices of the narrator and a character become inseparable in the 'free-indirect discourse' in which the character's words or inner thoughts are presented through the voice of the narrator without a tag clause ('he/she said,' or 'he/she thought') that indicates the character's speaking/thinking act (Chatman 1978, p. 206). In fact, there are frequently no clear grammatical differences between narration and free-indirect discourse in the Indo-European languages; their distinction is mostly contextual and is, in some cases, open to interpretation (Cohn 1978, p. 106).

In addition to the fact that quotation marks are not used, premodern Japanese often holds no grammatical distinction even between (whether free- or not) direct and indirect discourse: subjects of verbs are usually omitted, verbs do not conjugate for grammatical persons, and the use of (what is equivalent to) personal pronouns is rather limited in comparison to their employment in Indo-European languages. Therefore, monologues can be indistinguishable from narration when a tag clause is omitted and the speaker is not specified by the context or by the use of honorifics (Keith 2015, p. 211).

An actor's body functions as a 'tag clause' in most theatrical conventions. Each actor is charged with a fixed character, moving on stage as that character, speaking only that character's lines. Therefore, any words spoken on stage are attributed to a certain character.

This case does not apply to the noh. It is true that there are actors on stage in noh theater, each of whom represents a specific character. However, apart from narration, the chorus also recites the lines attributed to various characters. The actors on stage mostly deliver their dialogues; however, they sometimes also narrate their movements, as demonstrated by Example 3 from 'Sumidagawa.' In other words, the 'tag clause' is sometimes unreliable in noh theater.

As a result, in the absence of obvious onstage communication between characters, the discourse tends to become both monologic and narration-like. Theatrically, of course, when an actor enunciates words, these words tend to be taken as the character's speech rather than as narration. When the chorus chants a long passage without apparent inter-character communication, however, the recitation is open to the possibility of being both narration and words attributable to a character (or characters), almost akin to the free-indirect speech of Indo-European languages.

A re-examination of the aforementioned ending scene of 'Takasago' (Example 4) is warranted at this juncture: the chanting alternates between the *shite* actor and the chorus and blurs the identity of the speaker and even obscures the distinction between narration and dialogue. This ambiguity remains until the end since there is no clear textual indication of the addresser and addressee of the discourse. While bearing the narrator's authority, the chorus directly addresses the spectators and reveals the transcendental meaning of each of the god's dance gestures that bring peace and good fortunes to human beings. The religious miracle is thus manifested on stage, and endowed with the narrator's authority, the god's benedictions on the current regime and on its inhabitants are delivered directly to the audience.

## 4. The Closing Scenes of Acts in Zeami's God and Warrior Plays

### 4.1 The Ending of Acts in God Plays

Interestingly, Zeami's god plays and warrior plays show strikingly opposite tendencies in their use of such fusion of narration and speech voiced by characters.[10] Foremost, let us review the ending scenes of the acts in both categories. Plays of both categories take the structure of the dream play in which, as mentioned above, many acts end with primary narration such as the one recorded as Example 1. In fact, slightly more than half the acts of both warrior and god plays end in such a manner. However, the

ending of an act most distinctively demonstrates the narrative differences between the two categories when clear narration is not employed. Put differently, god plays tend notably to retain the ambiguity of the speaker until the end and thus sustain the prospect of narration; on the other hand, the ending chorus of warrior plays tends to manifest the protagonist's speech to another character.

Of all the nine god plays by Zeami (i.e., seventeen acts in total), the following eight acts do not end with clear narration: the only act of 'Yōrō' 養老 ('Nuturing the Aged'), the second acts of 'Yumiyawata' 弓八幡 ('The Bow of Hachiman'), 'Oimatsu' 老松 ('The Old Pine Tree'), 'Hōjōgawa' 放生川, 'Naniwa' 難波, 'Takasago,' and 'Hakozaki' 箱崎, and the first act of 'Naniwa.' Among them, only one act (the first act of 'Naniwa') ends with the god's appeal to the *waki* character: 'Please wait while sleeping under the flowers' (*hana no shitabushi ni machi-tamae* 花の下臥に待ち給へ; SNKS 79: 22). Another, the only act of 'Yōrō,' ends with the god's declaration of his intention to return to his transcendental world: 'I will now return to the world of eternity' (*Banzei no michi ni kaerinan* 萬歳の道に帰りなん; NKBT 40: 232). All the six remaining acts end with an ambiguous voice that blends narration with the voices of characters, praising the god's benevolence and the peaceful realm. Example 4 from 'Takasago' is a typical example. Another exemplar of this type may be found in 'Hakozaki.'

**Example 5: 'Hakozaki,' ending scene of the second act**

> Famous poet Mibu no Tadamine 壬生忠峰 visits the Hakozaki Shrine near Hakata 博多 (in present Fukuoka 福岡 Prefecture) that reveres the Hachiman 八幡 god, also called Great Bodhisattva Hachiman (Hachiman Daibosatsu 八幡大菩薩), who is said to be an emanation of Amitābha (Jp. Amida 阿弥陀) Buddha and have originally appeared in this world as Emperor Ōjin (Ōjin Tennō 応神天皇). Subsequently, the spirit of Empress Jingū (Jingū Kōgō 神功皇后), a goddess enshrined in the temple along with her son Emperor Ōjin, appears to Tadamine and reveals to him the legendary golden box that contains sutras. The box is said to have been buried by her under a pine tree in the shrine's precincts before she went to conquer the Korean peninsula.

Showing the sutras that she takes out of the box, she performs a dance which is followed by this ending chant:

地：願ひも満つの、光さし、願ひも満つの、光さして、弥陀誓願の、誓ひを顕はし、衆生の願ひを、満てしめたまふ、さるほどに、海原や、博多の沖に、かかりたる、唐土船も、時つくり、鳥も音を鳴き、鐘も聞こゆる、明けなばあさまに、玉手箱、また埋み置く、標の松の、もとのごとくに、収まる嵐の、松の蔭こそ、久しけれ（'Hakozaki,' p. 350)

*JI: Negai mo mitsu no, hikari sashi, negai mo mitsu no, hikari sashite, Mida seigan no, chikai o arawashi, shujō no negai o, miteshime-tamau, saru hodo ni, unabara ya, Hakata no oki ni, kakaritaru, morokoshibune mo, toki tsukuri, tori mo ne o naki, kane mo kikoyuru, akenaba asama ni, tamatebako, mata uzumi oku, shirushi no matsu no, moto no gotoku ni, osamaru arashi no, matsu no kage koso, hisashikere*

CHORUS: The wish-fulfilling light shines, the wish-fulfilling light shines, manifesting Amida Buddha's vow to save all. In this manner the Hachiman god satisfies the wishes of all the sentient beings. In the meantime, out at sea, off Hakata, the siren of a ship from China proclaims the dawn. Cocks are crowing, and the temple bells are heard. As the day breaks, the box should be hidden; it is again buried under the pine tree, which stands as the sign of the box, just as before—things are now just as before, and the winds are calmed. Under the shade of the pine, the winds are calmed forever!

The eternal serenity and peace in the shade of the pine tree, under which the box of sutras is buried, suggests the perpetuity of Buddhism and its protection of this world. However, the identity of the speaker of this entire celebration remains unclear. The beginning part, which praises the magnanimity of Hachiman, can be read either as primary narration or as the goddess's secondary narration. Then, the remaining portion is devoted to the description of the surrounding scene, which makes it almost impossible to distinguish between narration and speech voiced by a character. The last line, the praise of Buddhism, is enounced through this unidentified voice.

### 4.2 The Closing of Acts in Warrior Plays

In contrast to the god plays, of the thirteen acts of warrior plays by Zeami, only two of the six acts that do not end with clear narration close with the fusion of voices observed in god plays (the only act of 'Kiyotsune' 清経 and the second act of 'Michimori' 通盛). The other four acts (the first act of 'Yashima' 八島 and the second acts of 'Atsumori' 敦盛, 'Sanemori' 実盛, and 'Tadanori' 忠度) end with a chorus that includes signal words indicating that the words should be interpreted as speech addressed to the *waki* character (a monk) by the protagonist. The following is one such example from 'Yashima.'

**Example 6: 'Yashima,' the ending of the first act**

In this act, the ghost of Minamoto no Yoshitsune 源義経, disguised as a local old man, recounts his military exploits to a traveling monk. In the ending scene of the act, he hints at his identity and disappears.

地：潮の落つる暁ならば　修羅の時になるべし　その時は　わが名や名のらん　たとひ名のらずとも名のるとも　よしつねの憂き世の　夢ばし覚まし給ふなよ　夢ばし覚まし給ふなよ (SNKS 79: 334–335)

*JI: Ushio no otsuru akatsuki naraba / shura no toki ni naru beshi / sono toki wa / waga na ya nanoran / tatoi nanorazu tomo nanoru tomo / yoshi tsune no ukiyo no / yume ba shi samashi-tamau na yo / yume ba shi samashi-tamau na yo*

CHORUS: In the dawn when the night tide is ebbing, it should be the time of everlasting fight of the shura realm; I will reveal my name then. Whether I reveal my name as Yoshitsune[11] or not, though, please do not wake up from your dream in this world of perpetual sadness, please do not wake up from your dream.

This closing makes it obvious that the chorus chants the words addressed by the protagonist directly to the *waki* character. Conversely, in some of the other final choral pieces of the warrior plays, the identity of the speaker is muddled but subsequent 'signal words' confirm that the chorus does,

after all, reflect the ghost's words to the monk. The following ending scene of the second act of 'Atsumori' serves as an exemplar of such confusion and clarification.

**Example 7: 'Atsumori,' the ending of the second act**

In the first act of the play, the monk Renshō 蓮生, the former Genji 源氏 warrior Kumagae no Jirō Naozane 熊谷次郎直実 who tonsured his head after slaying young Taira no Atsumori 平敦盛 in the battle at Suma 須磨 Bay, visits the exact location where he killed Atsumori to pray for the latter's spirit. There, he encounters Atsumori's ghost disguised as a local grass mower who plays the flute beautifully, as Atsumori did in his lifetime. The ghost hints at his identity and disappears. In the second act, the ghost reappears and re-enacts the family banquet that occurred the night before his death, where he enjoyed singing, dancing, and playing the flute that he carried with him to his last battle. In the following ending scene of the play, the ghost reenacts his final battle with Naozane, tries to strike at the monk for revenge but refrains, expressing his gratitude for the monk's continuous efforts to save his spirit.

シテ：せん方波に駒を控へ、呆れ果てたる有様なり
地：かかりけるところに、うしろより熊谷の次郎直実、逃がさじと追っ掛けたり、敦盛も、馬引つ返し、波の打ち物抜いて、ふた打ち三打ちは打つぞと見えしが、馬の上にて引つ組んで、波打ち際に、落ち重なって、終に討たれて、失せし身の、因果は巡り逢ひたり、敵はこれぞと討たんとするに、仇をば恩にて、法事の念仏して弔はるれば、終には共に生まるべき、同じ蓮の蓮生法師、敵にてはなかりけり、跡弔ひて賜び給へ、跡弔ひて賜び給へ。
(NKBT 40: 240)

*SHITE: Sen kata nami ni koma o hikae, akire-hatetaru arisama nari*
*JI: Kakarikeru tokoro ni, ushiro yori Kumagae no Jirō Naozane, nigasaji to okkaketari, Atsumori mo, uma hikkaeshi, nami no uchimono nuite, futauchi miuchi wa utsu zo to mieshi ga, uma no ue nite hikkunde, namiuchigiwa ni ochi-kasanatte, tsui ni utarete, useshi mi no, inga wa meguri-aitari, kataki wa kore zo to utan to suru ni, ada oba on nite, hōji no nenbutsu shite tomurawarureba, tsui ni wa tomo ni umaru beki, onaji hachisu no Rensei hōshi, kataki nite wa nakarikeri, ato tomuraite tabi-tamae, ato tomuraite tabi-tamae*

SHITE [ATSUMORI'S GHOST]: Not knowing what to do, I pull/pulled up the horse, completely at a loss.

CHORUS: In the meantime, from behind, Kumagae no Jirō Naozane ran after, intending not to let me/him escape. I/Atsumori, too, turn/turns/turned the horse back and unsheathe/unsheathes/unsheathed a sword, striking once or twice at the enemy, it seemed. Then we/they grapple/grappled with each other on the horses and then drop/dropped on the water's edge. Finally, I/he was slain dead. But now the chance for retribution has come. This is my revenge! Thus thinking, I/he try/tries to assault you/him, but you/he did a favor to your/his former enemy. Since you/he prayed to Amida Buddha for me/him, we/they should for sure be reborn together on the same lotus flower in the Pure Land. Monk Renshō, you/he are/is no more my/his enemy. Please pray for me, please pray for me.

Although the choral section begins as the continuation of the ghost's own recollections of his last battle (secondary narration), it bears strong resemblance to primary narration for several reasons: first, it describes the actions actually occurring on stage, the ghost's reenactment of his last fight and his present attempt to take revenge against the monk Renshō; second, as the above translation demonstrates, the grammatical persons and the subjects and objects of the verbs as well as their tenses, are largely undeterminable in the original text; third, the resemblance to primary narration is reinforced by the insertion of a perspective that is external to Atsumori during the fight: *mieshi* ('it seemed').

However, this vocal ambiguity is resolved suddenly in the last line, which clearly denotes the ghost's entreaty to the monk for a Buddhist service: 'Please pray for me' (*ato tomuraite tabi-tamae*). In other words, after the ambiguous passage bearing resemblance to primary narration, the final statement reinforces the inter-character communication. The other three instances, the second acts of 'Sanemori' and 'Tadanori,' and the first act of 'Yashima,' all end in a similar manner, placing a direct plea from the *shite* to the *waki* character into an end-of-the-act choral piece.

### 4.3 Summary: The Closing of Acts in Zeami's God and Warrior Plays

In sum, the endings of acts in Zeami's god and warrior plays evince distinct patterns that are peculiar to each category, as is demonstrated by the following table. Here the endings of one-act plays, such as 'Kiyotsune' and 'Yōrō,' are considered the second acts' endings as both of them mark the plays' endings.[12]

| | **warrior plays (13 acts in total)** | **god plays (17 acts in total)** |
|---|---|---|
| ending in primary narration | first acts: 5 (38.4%)<br>second acts: 2 (15.3%)<br><br>total: 7 (53.7%) | first acts: 7 (41.2%)<br>second acts: 2 (11.8%)<br><br>total: 9 (53%) |
| ending with the *shite* character's words addressed directly to the *waki* character | first acts: 1 (7.7%)<br>second acts: 3 (23%)<br><br>total: 4 (30.7%) | first acts: 1 (5.9%)<br>second acts: 0 (0%)<br><br>total: 1 (5.9%) |
| ending is presented as the *shite* character's words, but not necessarily addressed to the *waki* character | first acts: 0 (0%)<br>second acts: 0 (0%)<br><br>total: 0 (0%) | first acts: 0 (0%)<br>second acts: 1 (5.9%)<br><br>total: 1 (5.9%) |
| ending in an ambiguous voice | first acts: 0 (0%)<br>second acts: 2 (15.3%)<br><br>total: 2 (15.3%) | first acts: 0 (0%)<br>second acts: 6 (35.3%)<br><br>total: 6 (35.3%) |

In both categories, slightly more than half the acts end with primary narration; however, these are mostly limited to the first acts. The second acts explicitly demonstrate the almost opposite characteristics of the two noh classifications in terms of their stage–audience communication. The warrior plays tend to close with a character's appeal to another character; in other words, they end within the frame of onstage communication, rela-

tively similar to the Western bourgeois dramas that assume 'the fourth wall.'

In contrast, two thirds of the second acts of god plays end in praise of the god's benevolence or in celebration of a peaceful reign, delivered by an ambiguous voice. This indeterminate voice, open to a range of interpretations including an extradiegetic narrator, grants the religious message an authority that transcends a single character's viewpoint. Thus, with minimal onstage communication, the otherworldly blessings on the reign are delivered almost like an oracle, directly to the worldly people, the audience, almost as if it is the sole target of the benefaction.

## 5. Voice-Ambiguous Choral Sections in Zeami's God and Warrior Plays

### 5.1 Alternate Chanting as a Device Obscuring Voices

As Example 4 from 'Takasago' demonstrates, the ambiguous endings of god plays often start with chanting that is interchanged between the *shite* actor and the chorus.[13] In such sections, the chorus first takes the part of the *waki* character but subsequently, it shares the same statement as the *shite* actor, and eventually chants the last segment without the aid of the *shite*. This swapping of the chanting contributes greatly to the indeterminacy of the narratological speaker. The actor physically embodies the 'tag,' but by confusing the tie between the character's physical and vocal sources, the signification of this identifier is negated.

In itself, the alternate chanting is not restricted to the ends of god plays; nor is it always performed by the *shite* actor and the chorus. It may be observed at any point of either category of noh plays and is often exchanged between *shite* and *waki* players. Sometimes, a dialogue between two characters may transform into alternate chanting of a particular phrase; this duplication is often triggered by the *waki*'s agreement with the *shite*'s words (*genigeni* げにげに, 'indeed, indeed') or by the *shite*'s

solicitation to the *waki* character to jointly view the same landscape (*goran sōrae* ご覧候へ, 'please look at this'). After thus blurring the narratological speaker, the shared chanting is always followed by a choral section. Since, during Zeami's time, the actors who performed specific characters on stage also joined the choral sections (Omote 1985), the ambiguity of the addresser in such sections must have been all the more intense.

Interestingly, the choral pieces that appear after the alternate chanting in the middle of acts in Zeami's god and warrior plays evince the same opposite attributes that are observed in the endings of their acts. In god plays, the chorus sections usually end with the speaker remaining unidentified. Even when the content of a given section clarifies the words as belonging to the *shite* character, the onstage inter-character communication is extremely weak. In warrior plays, however, these portions tend to end with the *shite* character's entreaty to the *waki* character, or at least with clear indications of the *shite* character's speaking action toward the *waki* character, thus reassuring their inter-character associations.

### 5.2 The Chorus after Alternate Chanting in the God Plays

In Zeami's god plays, the chorus segment after the fusion of the *shite*'s and *waki*'s speeches almost never spotlights the communication between the two characters. Even when it is illumined that the choral chants represent the *shite* character's words, as in the third scene of 'Furu' 布留 and in the fourth scene of 'Unoha' 鵜羽 ('The Cormorant Feathers'), the addressee is not obvious and therefore the onstage communication is almost invisible.

In the third scene of 'Furu,' for instance, the chorus ends with the *shite* character's expression of her intention to wash the clothes: 'I will wash the clothes with my whole heart' (*itonami o kakete arawan* いとなみを掛けて洗はん; 'Furu,' p. 181). The fourth scene of 'Unoha' ends with the chorus chanting the *shite* character's 'list song' (*monozukushi-uta* 物尽くし歌), which comprises a compilation of homophones of *fuku* 葺く ('to thatch'). In both cases, the *shite* character's speaking or singing action (stating her

intention to start washing, or singing a list song) is not directly aimed at the *waki* character.

In the rest of such choral segments in Zeami's god plays—the third scenes of 'Hōjōgawa,' 'Takasago,' 'Naniwa,' and 'Yōrō,' and the ninth scene of 'Furu'—even the speaker is not identified, as can be seen in the following example from 'Hōjōgawa.'

**Example 8: 'Hōjōgawa,' third scene**

A traveling priest meets an old man carrying live fish at Iwashimizu Hachiman 石清水八幡 Shrine on the day of the Rite of Releasing Living Creatures (*hōjōe* 放生会). The elderly man informs the priest about the origin of the rite, during which live fish are released into the Hōjō River (Hōjōgawa).

ワキ：謂はれを聞けば有難や　さてさて生けるを放すなる川はいづくのほどやらん
シテ：御覧候へこの小川の　水の濁りも神徳の　誓ひは清き石清水の
ワキ：末はひとつぞこの川の
シテ：岸に臨みて
ワキ：水桶に
地：取り入るる　このうろくづを放さんと　この鱗類を放さんと　裳裾も同じ袖ひぢて　掬ぶやみづから水桶を　水底に沈むれば　魚は喜び鰭ふるや水を穿ちて岸陰の　潭荷葉動く　これ魚の遊ぶありさまの　げにも生けるを放すなる　おん誓ひあらたなりけり (SNKS 79: 222)

*WAKI: Iware o kikeba arigata ya / satesate ikeru o hanasu naru kawa wa izuku no hodo yaran*
*SHITE: Goran sōrae kono ogawa no / mizu no nigori mo shintoku no / chikai wa kiyoki iwashimizu no*
*WAKI: sue wa hitotsu zo kono kawa no*
*SHITE: kishi ni nozomite*
*WAKI: mizuoke ni*
*JI: tori-iruru / kono urokuzu o hanasan to / kono urokuzu o hanasan to / mosuso mo onaji sode hijite / musubu ya mizukara mizuoke o / minasoko ni shizumureba / uo wa yorokobi hire furu ya / mizu o ugachite kishikage no / tankaha ugoku / kore uo no asobu arisama no / ge ni mo ikeru o hanasu naru / onchikai arata narikeri*

WAKI [PRIEST]: Hearing your explanation, I am so grateful! Then, tell me, where is the river where the living fish are released?

| | |
|---|---|
| SHITE [OLD MAN]: | Please look at this brook; the water is not muddy at all, just like the virtue of the promise of the Iwashimizu god, |
| WAKI: | since the pure promise of the Hachiman god at Iwashimizu makes its appearance in this brook, |
| SHITE: | by the shore of which we/they stand |
| WAKI: | with a water pail. |
| CHORUS: | To release the fish caught in this water pail, to release the fish, wetting the trains as well as the sleeves, I/he myself/himself put/puts the pail under the water. The fish rejoice, waving their fins and splashing about, and the lotus leaves sway by the shore. As shown by the sight of the fish thus delighted, the god's vow to release the creatures is being kept faithfully! |

Describing the surrounding scenery, the chanting voices of the *shite* and the *waki* merge into one long statement. The chorus section that ensues continues to depict the scene in which the old man releases the fish into the river; this depiction can be the old man's self-depiction, the priest's observation, and/or just primary narration. With the speaker thus remaining unclear and the onstage inter-character communication kept to a minimum, the section ends with the celebration of the everlasting mercy of the Hachiman god toward all living creatures.

### 5.3 The Chorus after Alternate Chanting in the Warrior Plays

It is pertinent to also examine examples from the middle of the acts of Zeami's warrior plays where the fusion of the *shite*'s and *waki*'s words leads to a chorus section.

The choral segments of only two of seven such instances end without clarifying the addresser and the addressee: the eighth scene of 'Sanemori' ('Indeed, believing and valuing Buddha's teaching, which is never-decaying words of gold, why shouldn't I/we/he reach the shore of the Pure Land?', *Geni ya utagawanu, nori no oshie wa kuchi mo senu, kogane no kotoba omoku seba, nado ka wa itarazaru beki* げにや疑はぬ、法の教へは朽ちもせぬ、金の言葉重くせば、などかは至らざるべき; SNKS 73: 114)

and the eighth scene of 'Yorimasa' 頼政 ('Thanks to its benefits, Yorimasa will attain Buddhahood; how gracious!', *Koko zo byōdō daie no, kuriki ni Yorimasa ga, bukka o en zo arigataki* ここぞ平等大慧の、功力に頼政が、仏果を得んぞ有難き; SNKS 79: 425–426). In both cases, after the merging of the *shite*'s and *waki*'s chanting, the ambiguity of the speaker is retained until the end of the ensuing chorus. Such chanting of the benefits of Buddhist teachings can be considered as speech emanating from either character and/or as primary narration.

In the third scene of 'Tadanori,' the chorus that succeeds the fusion of the *shite*'s and *waki*'s words describes the surrounding scenery; in the middle of this segment, the *shite* character makes a statement deploring the *waki* character's ignorance and these inserted words are then identifiable as belonging to the *shite* character: 'how senseless the words of the honorable monk are!' (*Amari ni oroka naru, osō no gojō kana yana* あまりにおろかなる、お僧のご諚かなやな; SNKS 73: 297). However, the inter-character communication between the *shite* and *waki* players is not particularly apparent since the inserted remark of the *shite* character can be regarded as an aside, and not necessarily a direct address to the monk.

In the remaining four cases (the third and eighth scenes of 'Atsumori,' the third scene of 'Michimori,' and the ninth scene of 'Yashima'), it is made obvious that the chorus chants the *shite* character's words addressed to the *waki* character. These four scenes may be divided into two types: the first ends with the *shite*'s direct entreaty to the *waki* character, such as the third scenes of 'Atsumori,' ('Please think of it as a brand of a salt maker,' *ama no takisashi to oboshi-mese* 海人の焼残と思しめせ; NKBT 40: 236) and of 'Michimori' ('Please recite the sutra more,' *Naonao okyō asobase* なほなほお経あそばせ; SNKS 79: 283); the second type ends with the *shite* character's words expressing his intentions to work for the *waki* character, such as the eighth scene of 'Atsumori' ('I will tell you the story all night long,' *yosugara izaya mōsan* 夜すがらいざや申さん; NKBT 40: 238) and the ninth scene of 'Yashima' ('I will tell the story dur-

ing your dream,' *yumemonogatari mōsu nari* 夢物語申すなり; SNKS 79: 338). In addition, in all of these four cases, the use of honorifics or modest expressions not only in the endings of but rather throughout the chorus sections affirms that they are meant to be spoken to the monk by the protagonist.

The following is an example of the first type.

**Example 9: 'Atsumori,' third scene**

In this act, the monk Renshō expresses his wonder at the fact that a humble local mower—the ghost of Atsumori in disguise—has played the flute so beautifully. The mower replies that, as the famous saying 'woodcutter's songs and shepherd's flute' (*shōka bokuteki* 樵歌牧笛) asserts, it is natural even for people of the lowest rank, like him, to enjoy music. To this clever reply, the monk remarks 'indeed, indeed,' which triggers their alternate chanting:

ワキ：げにげにこれは理なり、さてさて樵歌牧笛とは、
シテ：草刈の笛
ワキ：木樵りの歌の
シテ：憂き世を渡るひと節を
ワキ：歌ふも
シテ：舞ふも
ワキ：吹くも
シテ：遊ぶも
地：身の業の、好ける心に寄り竹の、好ける心に寄り竹の、小枝蝉折さまざまに、笛の名は多けれども、草刈りの、吹く笛ならばこれも名は、青葉の笛と思しめせ、住吉の汀ならば、高麗笛にやあるべき、これは須磨の塩木の、海人の焼残と思しめせ、海人の焼残と思しめせ。(NKBT 40: 236)

*WAKI: Genigeni kore wa kotowari nari, satesate shōka bokuteki to wa,*
*SHITE: kusakari no fue*
*WAKI: kikori no uta no*
*SHITE: uki yo o wataru hitofushi o*
*WAKI: utau mo*
*SHITE: mau mo*
*WAKI: fuku mo*
*SHITE: asobu mo*
*JI: mi no waza no, sukeru kokoro ni yoritake no, sukeru kokoro ni yoritake no, Koeda Semiore samazama ni, fue no na wa ōkeredomo, kusakari no, fu-*

*ku fue naraba kore mo na wa, Aoba no fue to oboshi-mese, Sumiyoshi no migiwa naraba, komabue ni ya aru beki, kore wa Suma no shioki no, ama no takisashi to oboshi-mese, ama no takisashi to oboshi-mese*

| | |
|---|---|
| WAKI [RENSHŌ]: | Indeed, indeed, this is true; first of all, *shōka bokuteki* means |
| SHITE [MOWER]: | flute of mowers and |
| WAKI: | songs of woodcutters, |
| SHITE: | who, to solace themselves in this world of sadness, |
| WAKI: | sing, |
| SHITE: | dance, |
| WAKI: | play the flute, and |
| SHITE: | enjoy music, |
| CHORUS: | according to their own status and artistic taste. Among the various flutes with high reputation, such as Slender Twig[14] and Cicada Turn, since this one is played by a mower, please think of it as the flute Green Leaf. If this were the seashore of Sumiyoshi, it would be called Korean flute, but since this is Suma Bay, please think of it as a brand of a salt maker boiling the brine, please think of it as a brand of the salt maker. |

In this manner, after the *waki*'s complete agreement with the *shite*, the two start a sort of duet, chanting the same line alternately, both praising the fact that even the lowest social strata enjoy music and art. This alternate chanting section should be taken to voice the sentiments of both characters, not merely because it is chanted by both actors but also because the *waki*'s unconditional agreement with the *shite*'s opinion at the beginning encourages such an interpretation.

However, the choral section that immediately follows the alternate chanting elucidates that its words belong to the protagonist and do not represent a duet between the two characters. To confirm that the protagonist addresses the words to the monk, his pleas are thrice repeated in the short chant: 'Please think of it' (*oboshi-mese*). These words must be uttered by Atsumori to the monk because the honorific verb *obosu* and the honorific auxiliary verb *-mesu* are utilized.

### 5.4 Summary: The Chorus after Alternate Chanting in Zeami's God and Warrior Plays

The list compiled below summarizes the manner in which the chorus sections that succeed the fusion of the *shite*'s and *waki*'s chanting end in Zeami's god and warrior plays. The list is classified according to the degree and the ways in which the plays clarify the voices and the onstage communication.

| | **warrior plays (7 scenes in total)** | **god plays (7 scenes in total)** |
|---|---|---|
| ending with the *shite* character's words directly addressed to the *waki* character | 4 (57.1%) | 0 (0%) |
| ending is presented as the *shite* character's words, but not necessarily addressed to the *waki* character | 1 (14.2%) | 2 (28.5%) |
| ending with an ambiguous voice | 2 (28.5%) | 5 (71.4%) |

As this list illuminates, even when the alternate *shite* and *waki* chanting renders the speaker ambiguous, the ensuing choral segments of many warrior plays often clarify that the *shite* character is addressing the *waki* character. Thus, the warrior plays tend to close within the framework of the onstage communication. In contrast, the god plays are more inclined to end the choral sections after the alternate *shite* and *waki* chanting with the addresser remaining ambiguous and with minimal onstage communication. As a result, the stage–audience communication is strengthened and the choral passage commands the 'authority of narration,' enabling the religious message to be delivered to the audience more convincingly and more directly.

## 6. Conclusion

Warrior plays and god plays developed from noh performances that served highly religious purposes. Both categories originally intended to invoke blessings on earth either by appeasing grudge-bearing spirits (in warrior plays) or by representing gods who delivered benedictions to people (in god plays). Zeami drastically reformed the two categories in accordance with the tastes and needs of his audiences of high-ranking samurai, who enjoyed the aristocratic culture of the capital and were the patrons of his noh performances. Almost all aspects of the performance of both categories of noh were substantially refined by Zeami. In addition, the warrior play was transformed from dramas depicting the torture of a dead warrior in the hellish realm to stories featuring the elegant, aristocrat-like aspects, the sophistication, and the emotions of the samurai. On the other hand, the religiosity of the god plays was intensified through Zeami's endeavors. In his god plays, the blessings bestowed by the gods on the emperors were presented as the means by which the same benedictions were extended to the incumbent shogun. These plays thus executed major religio-political functions such as the celebration of the shogunate by the gods.

A comparison of the narrative structures of the two categories of noh plays reveals Zeami's careful handling of the (in-)determinancy of the voice of the chorus sections in accordance with the plays' socio-religious purposes. Many of the acts of the warrior plays culminated in the main character's direct plea (chanted by the chorus) to another character. Similarly, the choral segments following the alternate chanting by *shite* and *waki* actors in the middle of the acts of the warrior plays also often end with signal words that indicate that they indeed represent the *shite* character's utterances to the *waki* character. In this manner, warrior plays allow all their dramatic events to occur largely within the framework of the onstage communication between characters, with minimum intervention from an extradiegetic narrator. Zeami prefers to employ a 'realistic'

presentation of the characters more akin to the tradition of Western plays to depict the 'human' aspects of his fallen warriors. Instead of utilizing stage–audience communication to deliver the 'narrator's authority,' Zeami's warrior plays remain within the bounds of onstage communication as characters interact with each other.

In contrast, many of the acts and the chorus sections that follow the alternate chanting in the god plays culminate in the ambiguity of the speaker and in the avoidance of inter-character communication. The repeated celebration of the everlasting peaceful reign of an emperor in fact allegorically appeals for the eternal prosperity of the shogunate. This benefaction is bestowed directly on the audience via the immediacy of the stage–audience communication using a voice that takes on the 'authority' of an extradiegetic narrator, but that is simultaneously open to the possibility of belonging to other characters of the play.

This ambiguity of the voices that can be heard in Zeami's god plays serves as a reminder of Eva von Contzen's cognitive narratological analysis of the indeterminacy of the identity and viewpoint of the first-person narrator in medieval English literature.[15] She attributes the uncertainty to a focus on "what is narrated" as well as "the experience that is narrated [...] and the experience readers gain from the text" rather than "who narrates" (von Contzen 2018, p. 77). Notwithstanding the obvious differences between the indeterminacy of the narrator in medieval English literature and the ambiguity of the speakers in noh dramas,[16] her words can be safely borrowed: Zeami's god plays represent a theater genre in which the interest in 'what is narrated' surpasses the concern for 'who narrates.' In the finale of 'Takasago,' for example, the miraculous significance of each movement of the god's dance is guaranteed by the narrator's authority. At the same time, the speaker's voice is not assigned to the extradiegetic narrator alone; the words are potentially also deliverable by different characters, transcending the limits of individual viewpoints and consciousness. Thus, the focus is *not* on 'who narrates' (that is, who verbally

re-presents) the god's dance, but rather on the 'experience' of the dance itself as the audience is made to sense the miraculous blessing that 'presents itself.'

This analysis of Zeami's warrior and god plays revealed the peculiar effects of the voice-ambiguous choral parts on stage and disclosed Zeami's meticulous manipulation of such effects in accordance with the socio-religious aims of the noh plays. The correlations between such narrative characteristics and the functions of a genre are not restricted to the noh. Such associations may also be observed in other dramatical works that employ an ambiguous speaker with or without narration, from baroque oratorios to many postmodern dramas. It is hoped the narratological approaches to noh drama presented in this paper will therefore contribute to—and at the same time, will also benefit greatly from—future studies of other theatrical/dramatical conventions.

## Notes

1 For a summary of recent narratological approaches to drama studies, see Nünning/Sommer 2008.

2 For a further thorough analysis of the linguistic characteristics of premodern Japanese, see the article by Sebastian Balmes in this volume.

3 Regarding the use of narration, chorus, and the incongruity between physical 'voice' and grammatical speaker, what is probably the most similar to noh in the Western musico-dramatic traditions is the oratorio. Although unstaged and greatly varied through its chronological and geographical development from the seventeenth to the eighteenth century across Europe, the oratorio provides examples of chorus and solo singers adopting different roles, including the one of the narrator, within one work. For example, in Carissimi's Latin oratorio 'Jephte' (mid-17th c.), the narration (words of *historicus*) is sung by different sets of vocal sources: soloists with different vocal ranges, various ensembles, and a chorus. The chorus chants a part of the narration, the cries of Israeli soldiers in the battlefield, the greetings of the Israelites welcoming the victorious return of Jephthah to his home together with his daughter, and the conclusive words at the end, repeating the lament of Jephthah's daughter and soliciting people to deplore her fate altogether. A soprano singing the words of Jeph-

thah's daughter as a soloist also joins the chorus (Smither 1977, pp. 241–246). For the comparison between noh and baroque oratorios in Italy, protestant Germany, and England in terms of their socio-religious functions, the use of narration and chorus, and the ambiguity of the speaker's identity, refer to Takeuchi 2020.

4 By 'voice,' I do not mean Genettian 'voice,' which is closely associated with the narrator; instead, this term here refers to (the voice of) the grammatical speaker/addresser of any given lines.

5 This paper draws on my doctoral thesis, 'Ritual, Storytelling, and Zeami's Reformation of Noh Drama: Issues on Representation and Performance' (PhD Dissertation, Columbia University, 2008). Part of this dissertation, which overlaps with some parts of the present paper, was introduced in Japanese in Takeuchi 2016.

6 Till date, a formal program of noh follows the same order, which is then followed by a woman play (*kazura nō* 鬘能, a play featuring an elegant female spirit), a miscellaneous play (*zatsunō* 雑能, a play that does not come under the other categories), and a concluding play (*kirinō* 切能, a celebrately and spectacular play), with *kyōgen* 狂言 plays (short comical plays) alternating with noh plays.

7 *Shura* is one of the six realms of reincarnation (*rokudō* 六道), where deceased warriors were believed to go and suffer perpetual fighting.

8 In fact, the protagonists of the god plays composed in the Muromachi 室町 period (1336–1573), barring those created by Zeami, such as 'Kinsatsu' 金札 ('The Golden Tablet'), 'Himuro' 氷室 ('The Cavern of Ice'), 'Kamo' 賀茂, 'Kusenoto' 九世戸, 'Enoshima' 江島, and 'Arashiyama' 嵐山, often resemble *kōjin* 荒神 (or *aragami*), that is, furious 'demonlike' gods (Kitagawa 1971). In this paper, when no translation of a title of a noh play is given, the title is either a place name, as is the case above, or the name of a person.

9 'Blue Sea Waves' ('Seigaiha' 青海波), 'Return to the Capital' ('Genjōraku' 還城楽), 'Thousand Autumns' ('Senshūraku' 千秋楽), and 'Ten Thousand Years' ('Manzairaku' 万歳楽) are titles of famous *gagaku* 雅楽 dances.

10 In determining Zeami's authorship of the plays, I referred to the list compiled by Takemoto Mikio (1999, pp. 10–20), which reflects noh scholars' general consensus.

11 Yoshitsune's name is hidden in the phrase *yoshi tsune no ukiyo* ('this world of perpetual sadness').

12 Although 'Yōrō' is now performed in the two-act style, it is quite likely that it used to be a one-act play, without an intermission in the middle (NKBT 40: 226).

13 Other examples of this pattern are the endings of the second acts of 'Oimatsu,' 'Hōjōgawa,' and 'Yumiyawata.'

14 Slender Twig (Koeda, or Saeda 小枝), Cicada Turn (Semiore 蝉折), and Green Leaf (Aoba 青葉) are names of famous flutes. 'Korean flute' (*komabue* 高麗笛) is a type of flute.

15 I owe my gratitude to Dr. Sebastian Balmes for bringing this article by von Contzen to my attention. For some hints on issues of experientiality, see his paper in this volume.

16 One of the most apparent differences between them is that in noh, the narrator's voice and characters' voices can become indistinguishable, whereas in medieval English literature (as well as in oratorios), the ambiguity of the speaker boils down to the indeterminacy of the identity and the perspective of the first-person narrator.

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### Abbreviations

SNKS Shinchō Nihon koten shūsei 新潮日本古典集成
NKBT Nihon koten bungaku taikei 日本古典文学大系
NST Nihon shisō taikei 日本思想大系

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*Sonja Arntzen*

# Differing Demands of 'High' and 'Low' Narratives from the Heian Period for the Translator

*Abstract.* This essay addresses the different demands of translating texts of high art and works of a lower literary register from Japan's mid-Heian period (10th to 11th century). The author has shifted from translating highly literary texts such as the 'Kagerō nikki' ('The Kagerō Diary') and 'Sarashina nikki' ('The Sarashina Diary') to translating the 'Ochikubo monogatari' ('Tale of the Lady of the Low Chamber'), which may be considered representative of Heian popular fiction and is itself a parody of a Cinderella type romance. A comparison of passages from the diaries and the 'Ochikubo monogatari' shows how stylistic differences between the two types of narrative have required the author to adjust and often reverse previous translation principles and strategies.

## 1. Introduction

After more than twenty years engaged in the translation of two highly literary texts from the mid-Heian period (10th to 11th century), 'Kagerō nikki' 蜻蛉日記 ('The Kagerō Diary,' ca. 974) by Fujiwara no Michitsuna's Mother 藤原道綱母 (936?–995) (trans. Arntzen 1997) and 'The Sarashina nikki' 更級日記 ('Sarashina Diary,' ca. 1060) by Sugawara no Takasue's Daughter 菅原孝標女 (1008–?) (trans. Arntzen/Itō 2014), I recently shifted to translating the anonymously written 'Ochikubo monogatari' 落窪物語 ('Tale of Lady of the Low Chamber,'[1] late 10th c.) which may be considered representative of Heian popular fiction in its lower literary register. 'High' and 'low' in this essay are not employed as terms of absolute value

but rather as provisional designations to discern forms of art with different purposes and strategies, similar to Northrop Frye's "diagrammatic" use of high and low in the delineation of modes of mimesis (Frye 1967, p. 34). This usage allows that there can be 'high art' of miserably low quality and 'low art' of excellent quality. The 'Ochikubo monogatari' is certainly of this latter category. What I was not prepared for when I turned to the 'Ochikubo monogatari' was the challenge it posed to the principles and strategies of translation that I had developed for the two literary diaries. In many instances, I found myself doing exactly the opposite of what I had done before. This essay is a report from the 'coal face' of translation, for my translation of the 'Ochikubo monogatari' is not yet complete. I will compare excerpts from the diaries and the 'Ochikubo monogatari' to distinguish stylistic, linguistic and structural differences between the two types of narrative that appear to require different translation strategies. The essay will end with reflections on 'The Tale of Genji' ('Genji monogatari' 源氏物語, early 11th c.) as representing the perfect marriage of 'high' and 'low' art in the Heian period and the importance of the 'Ochikubo monogatari' as a rare extant example of 'low' popular fiction in the period.

## 2. Defining Popular Fiction in a Premodern Period

First, the classification of the 'Ochikubo monogatari' as a piece of popular fiction needs to be defended. One could argue that it is anachronistic to speak of 'popular fiction' in an age long before rudimentary forms of mass media. If we were to reduce the connotations of the term 'popular fiction' to a few attributes, we could perhaps agree that they would include:

– a large body of circulating material
– an avid readership seeking mainly entertainment
– low prestige within society at large

Although the majority of Heian *monogatari* 物語 tales have been lost, we know that the quantity was significant from the citation of titles of lost tales in other works such as diaries and the thirteenth-century 'Fūyō wa-

kashū' 風葉和歌集 ('The Collection of Wind-Blown Leaves'), a poetry anthology assembled entirely from poems appearing in works of fiction.

The circulation of fictional works in the manuscript culture of the Heian period presented challenges. If one wanted to read anything one needed to obtain a manuscript copy, and if one had only borrowed it and wanted to keep a copy, one would have to undertake copying it out oneself or have someone else do it. The time and effort needed to do this for a text as long as 'The Tale of Genji' beggars the imagination. 'The Sarashina Diary' provides rare evidence of how manuscripts of fiction at the time circulated through family and social connections (Arntzen/Itō 2014, pp. 10–11, 36, 108, 112, 120, 126) and how tales could become famous through oral recapitulations ahead of obtaining a manuscript. In a sense, people created their own 'trailers' for narratives they wanted to share:

> [...] つれづれなるひるま、宵居などに、姉、継母などやうの人々の、その物語、かの物語、光源氏のあるやうなど、ところどころ語るを聞くに、いとどゆかしさまされど、わが思ふままに、そらにいかでかおぼえ語らむ。
> ('Sarashina nikki,' SNKBZ 26: 279)
>
> *[...] tsurezure naru hiruma, yoii nado ni, ane, mamahaha nado yō no hitobito no, sono monogatari, kano monogatari, Hikaru Genji no aru yō nado, tokorodokoro kataru o kiku ni, itodo yukashisa masaredo, waga omou mama ni, sora ni ikade ka oboekataramu.*
>
> At leisure times during the day and evening, when I heard my elder sister and stepmother tell bits and pieces of this or that tale or talk about what the Shining Genji was like, my desire to read these tales for myself only increased (for how could they recite the tales to my satisfaction from memory alone?).
> ('The Sarashina Diary,' trans. Arntzen/Itō, p. 90)

The assumption that the content of 'popular fiction' will be entertaining is axiomatic but it is precisely this quality which leads to its low prestige in most societies and lays it open to the criticism of being injurious to serious-mindedness. In the Heian period, tale literature was indeed disparaged for its beguiling bedevilment particularly of the minds of women. The most famous example of criticism is in 'The Three Jewels' ('Sanbōe' 三

宝絵), a work of religious instruction written around 984 by Minamoto no Tamenori 源為憲 (941?–1011) for the sake of a young princess who had recently taken the tonsure:

> 又物ノ語ト云テ女ノ御心ヲヤル物、オホアラキノモリノ草ヨリモシゲク、アリソミノハマノマサゴヨリモ多カレド、[...] イガヲメ、土佐ノオトヾ、イマメキノ中将、ナカキノ侍従ナド云ヘルハ、男女ナドニ寄ツヽ花ヤ蝶ヤトイヘレバ、罪ノ根、事葉ノ林ニ露ノ御心モトヾマラジ。('Sanbōe,' SNKBT 31: 6)
>
> *Mata monogatari to iite omuna no mi-kokoro o yaru mono, Ōaraki no mori no kusa yori mo shigeku, Arisomi no hama no masago yori mo ōkaredo, [...] Iga ome, Tosa no otodo, Imameki no chūjō, Nakai no jijū nado ieru wa, otoko omuna nado ni yosetsutsu hana ya chō ya to iereba, tsumi no ne, koto no ha no hayashi ni tsuyu no mi-kokoro mo todomaraji.*
>
> Then, there are the so-called *monogatari,* which have such an effect upon ladies' hearts. They flourish in numbers greater than the grasses of the Ōaraki Forest, more countless than the sands on the Arisomi beaches. [...] *The Sorceress of Iga*, *The Tosa Lord*, *The Fashionable Captain*, *The Nagai Chamberlain*, and all the rest depict relations between men and women just as if they were so many flowers or butterflies, but do not let your heart get caught up even briefly in these tangled roots of evil, these forests of words. ('The Three Jewels,' trans. Kamens, p. 93)

One notes in passing that the number of *monogatari* is emphasized in this passage and none of the titles mentioned in the citation are extant. The assumption that the readership of popular fiction is exclusively female is also prominent. Even if the reading public for tales was limited to the aristocracy and primarily women within the aristocracy, if nearly all members of that group had access to and were reading the same material with enthusiasm, I consider it fair to call it 'popular' literature. In fact, the only characteristic of modern popular literature that is completely absent in Heian-period tale literature is a commercial foundation. This was popular literature before a money-based economy.

## 3. General Characteristics of 'High Literary Art' in Texts Used as Examples

'The Kagerō Diary' and 'The Sarashina Diary' bracket the golden period of diary literature in the Heian period. From the point of view of western literary history, it may be surprising to have the diary regarded as a serious literary genre from such an early period (see discussion in Arntzen 2016, pp. 165–166 and also Arntzen/Itō 2014, pp. 3–7). The term *nikki bungaku* 日記文学 ('diary literature') in literary criticism only dates from the early twentieth century but the serious regard for diaries of the Heian period can be dated to the thirteenth century. A primary reason for the acceptance of Heian diaries as high art is the prominence of poetry in them. In the hierarchy of genres in the Heian period itself, poetry in the *waka* 和歌 form (31 syllable form divided into 5 lines with the syllable count 5-7-5-7-7) occupied the top position thanks to the social importance of the *chokusenshū* 勅撰集, 'imperially sponsored anthologies.' The inclusion of even one poem in an imperial anthology was a poet's foot in the door of literary immortality and a source of social prestige not only for the poet but for his or her family. The two diaries under discussion are as much collections of the authors' poetry as they are life stories.

I would summarize the 'high art' characteristics of 'The Kagerō Diary' and 'The Sarashina Diary' as follows:

– a lyrical style that mixes poetry and prose, where often poetry is the focus
– a refined writing style in which each word, each sentence, the composition of each passage and the juxtaposition of passages counts for a lot
– serious purpose, a concern with truth

In 'The Kagerō Diary,' Michitsuna's Mother pioneered a prose style of long sinuous sentences that capture the shifting quality of thought and emotion "in a dance with memory" (Arntzen 1997, p. 48; see pp. 42–49 for a detailed description of the prose style in 'The Kagerō Diary'). The prose often carries as much linguistic and emotive freight as the poetry, resulting in a

style that blurs the distinction between the two. An excerpt from the text that exemplifies these qualities will be presented in the comparative analysis part of this paper.

Michitsuna's Mother opens her diary with a critique of tale literature complaining that the "old tales" (*furu-monogatari* 古物語) are "just so much fantasy" (*yo ni ōkaru soragoto dani ari* 世におほかるそらごとだにあり; 'Kagerō nikki,' NKBZ 9: 125; trans. Arntzen, p. 57). She suggests that by contrast it might be "novel" (*mezurashiki* めづらしき) to record the life of a woman who is 'nobody,' by which she means an undistinguished member of the middle level of aristocracy. Thus, she declares that her diary will be a record of real life, not fantasy. This constitutes her statement of purpose. She composes her life story around her relationship with her husband Fujiwara no Kaneie 藤原兼家 (929–990), one of the scions of the most powerful branch of the Fujiwara 藤原 family, which dominated the politics of the era. The marriage experienced many ups and downs over a twenty-year period and ended in estrangement. The relationship was sustained by and occasionally rescued by the exchange of poetry between the couple. The diary made her reputation as a poet, something more difficult to achieve for a woman in her situation who spent her life within the home and never served at court. The prose style she crafted was adopted and further developed by Murasaki Shikibu 紫式部 in 'The Tale of Genji.'

'The Sarashina Diary' was written in the next generation after 'The Tale of Genji' and bears witness to the enthrallment that work of fiction worked upon its readers. The author, Takasue's Daughter unifies her life story around her infatuation with romantic fiction. On the surface, she laments how the fantasies engendered by reading fiction kept her from devoting herself to religious practices that might have resulted in a more successful life trajectory. On the other hand, many of the diary's most exquisite passages evoke moments of heightened perception often including poems. These passages testify to the underlying message of the diary: it was

through fiction and poetry that she came to appreciate the sadness and poignancy of life, the real starting point for spiritual aspiration. 'The Sarashina Diary' author is concerned with spiritual truth as well as the truth of 'real' life. Of all the Heian diaries, 'The Sarashina Diary' is the most carefully constructed with an eye to creating an overall pattern: juxtaposing images of light with those of dark and passages of prosaic self-reflection with passages of poetic exaltation. Like 'The Kagerō Diary,' it also served as the author's personal collection of poetry.

## 4. Introduction to the 'Ochikubo monogatari' and Its Characteristics as 'Low' Art

The 'Ochikubo monogatari' is roughly contemporary with 'The Kagerō Diary' and is often suspected of being one of the "old tales" that Michitsuna's Mother criticizes as "just so much fantasy" in the opening of her diary. The author is unknown as is the case for most of the earlier *monogatari*, but it is assumed that the authors were men writing for a largely female readership. As already mentioned, most of the early *monogatari* have been lost but it is evident that there was a lot of recycling of popular plot lines. In the 'Fireflies' ('Hotaru' 蛍) chapter 25 of 'The Tale of Genji,' Genji 源氏 censors his daughter's reading matter by forbidding tales of the persecuted stepdaughter type: 'There being so many of those old tales of the horribly cruel stepmother' (*mamahaha no harakitanaki monogatari mo ōkaru o* 継母の腹きたなき昔物語も多かるを; 'Genji monogatari,' SNKBZ 22: 216).

This remark shows how well-worn the plot line of the 'persecuted stepdaughter' had become by the time of 'The Tale of Genji.' The 'Sumiyoshi monogatari' 住吉物語 ('Tale of Sumiyoshi') is a surviving example of this 'Cinderella' plot archetype. Even though the extant manuscript of this tale is a much later redaction, dating from the late twelfth or early thirteenth century, the mention of its title in other earlier works indicates that it was circulating in the tenth century. In fact, Mitani Kuniaki has proposed that

the 'Ochikubo monogatari' is in fact a parody of the 'Sumiyoshi monogatari' and other tales of the persecuted stepdaughter type (SNKBZ 17: 355). This interpretation accounts convincingly for the exaggerated character of the 'Ochikubo monogatari' and its inclusion of even scatological humor, not usually associated with the *monogatari* genre.

The first third of the 'Ochikubo monogatari' follows a typical Cinderella type story line. A beautiful, virtuous young woman is persecuted mercilessly by her stepmother until she comes to the notice of a handsome young lord who, after many trials, rescues her and they live happily ever after. What makes the 'Ochikubo monogatari' different from the usual Cinderella story is that the tale does not end with the couple's happy union. The story goes on to deal with the revenge the hero takes on the wicked stepmother by subjecting her and her family to many episodes of social humiliation. After the members of the family are utterly demoralized and finally blaming the stepmother for all their misfortune, the hero reverses all the wrongs allowing his wife to fulfill her desire to be filial toward her father. All the action of the story takes placed firmly in this world; there is no supernatural intervention. In this respect, the 'Ochikubo monogatari' fits Northrop Frye's category of the 'low mimetic mode' quite well. Frye describes the hero of this mode thus:

> If superior neither to other men nor to his environment, the hero is one of us: we respond to a sense of his common humanity, and demand from the poet the same canons of probability that we find in our own experience. This gives us the hero of the *low mimetic mode*, of most comedy and of realistic fiction. (Frye 1967, p. 34)

To be sure, the hero and heroine of the 'Ochikubo monogatari' are portrayed as slightly superior to other characters but not to any extent that takes them out of the realm of ordinary reality.

I summarize the characteristics of the 'Ochikubo monogatari' as 'low' art as follows.

– the plot is everything, nothing gets in the way of the rapid development of the story
– a relatively simple writing style (including the composition of poetry) with less evidence of careful revision
– the goal is entertainment

The 'Ochikubo monogatari' has a rapid-fire plot. The reader is constantly in suspense wanting to know what is going to happen next and engaged by the twists and turns in the plot. This brilliant plot is complemented by lively, witty dialogue. In fact, the story is predominantly told through dialogue. The 'Ochikubo monogatari' reads like a stage script that is very sparse in setting descriptions and stage directions. The absence of such information is not merely a case of the inattention on the part of the author. I think it was part of the expectations of the genre, since the situations and characters were recycled and the intended audience was so familiar with the social and physical settings for the action, there was no need for detailed description. The purely narrative sections of the text are written in a rather simple style with repetitive sentence patterns. Poetry is included in the tale because it was an integral part of social interaction between men and women in the Heian period, but the poems are written in a conventional manner. Fujii Sadakazu remarks in his introduction to the text that there are few poems likely to attract the attention of specialists in *monogatari* literature (SNKBT 18: 432).

Even the briefest summary of the 'Ochikubo monogatari' suggests how entertaining it is as a tale. For one thing, it fulfills what seems to be a universal romantic desire to see a young couple survive tribulations and achieve happiness. One of the trials to which the heroine is subjected is an attempted forced marriage to a lecherous elderly member of the household, the Medicine Bureau Clerk (Ten'yaku no Suke 典薬助). The foiling of this plan entails a lot of humor at the old clerk's expense, especially in the climactic scene when he is finally defeated by the feebleness of his own aged bowels. The revenge conspiracies devised by the hero all have an

amusing side to them as well as providing a satisfying repayment of wrongs. Moreover, the parodic aspect of the text adds another level of humor to the tale. It is not that humor may not serve serious purposes in art, but it must first be entertaining.

## 5. Principles of Translation and Challenges Posed by Different Types of Text

As mentioned in the introduction, the translation of the 'Ochikubo monogatari' has forced me to go against principles I had developed in the process of translating the women's diaries. These principles are only two and both rather straightforward:

– In general, translate as much as possible all that is in the text without adding anything or omitting even the smallest detail.
– For poems in the waka form: what counts is the content, so preserve as much as possible the order of the images and ideas in the waka without worrying about keeping rigidly to the form of 5-7-5-7-7 syllable lines.

Let us start with the problem of 'not adding.' As I started working on the 'Ochikubo monogatari,' I found myself having to add small bridging sentences to clarify the movements of the characters, but this is a small matter akin to the necessity of having to add subjects and pronouns for any translation from classical Japanese. I also began to add the odd adverb and specific verbs to qualify speech in order to relieve the monotony of repeated '[he] said,' '[she] said,' for example, with phrases such as 'he said frostily' or 'she retorted.' The bigger problem, however, became how to deal with quoted interior monologue.

### 5.1 Interior Monologue

The 'Ochikubo monogatari' not only tells its story through dialogue, but also through quoted interior monologue. I was very familiar with this technique since Michitsuna's Mother skillfully employs it in 'The Kagerō Diary' to portray complex and conflicted states of mind. This is best

shown through an example. The following passage comes from the middle of the diary when the marriage is reaching a crisis point. The author's husband is visiting ever more seldom. In the Heian period, women lived in their own homes and husbands came visiting. The author's sister resides in the same house in the south apartment, and at this juncture, she has a husband who visits faithfully and has shown up even though it is raining.

雨の脚おなじやうにて、火ともすほどにもなりぬ。南面にこのごろ来る人あり。足音すれば、「さにぞあなる。あはれ、をかしく来たるは」と、わきたぎる心をばかたはらにおきて、うち言へば、年ごろ知りたる人、むかひゐて、「あはれ、これにまされたる雨風にも、いにしへは、人の障りたまはざめりしものを」と言ふにつけてぞ、うちこぼるる涙のあつくてかかるに、おぼゆるやう、

思ひせく　胸のほむらは　つれなくて　涙をわかす　ものにざりける

と、くりかへしいはれしほどに、ぬるところにもあらで、よは明かしてけり。
('Kagerō nikki,' NKBZ 9: 148–149; spaces added to poem)

*Ame no ashi onaji yō nite, hi tomosu hodo ni mo narinu. Minami omote ni kono goro kuru hito ari. Ashioto sureba, "Sa ni zo a[n] naru. Aware, okashiku kitaru wa" to, waki-tagiru kokoro oba katawara ni okite, uchi ie-ba, toshigoro shiritaru hito, mukai ite, "aware, kore ni masaretaru amekaze ni mo, inishie wa, hito no sawari-tamawaza[n] merishi mono o" to iu ni tsukete zo, uchi koboruru namida no atsukute kakaru ni, oboyuru yō,*

*Omoiseku / mune no homura wa / tsurenakute / namida o wakasu / mono ni zarikeru*

*to, kurikaeshi iwareshi hodo ni, nuru tokoro ni mo arade, yo wa akashitekeri.*

With the sound of rain pattering on, it became time to light the lamps. These days, there is a man who visits the south apartment. When I hear his footsteps, I think, *so, he has come. How touching and charming of him to have come on such a night,* and right alongside that feeling comes boiling up a swirl of emotion; when I speak out, one of my attendants who has known me for years, faces me and says, "It is sad. In the old days, even rain and wind worse than this would not have kept him away." The moment she says this, I feel hot tears rolling down:

I stifle these thoughts
but the flames in my breast
do not appear,

they just go ahead and
boil up these tears.

repeating this over and over to myself, I stayed up all night in a place away from my bed. (‘The Kagerō Diary,’ trans. Arntzen, p. 219)

Note how effectively the quoted content of the author’s thoughts show her first inclination to be happy for her sister, which the next moment evokes pain at the contrast with her own situation, a pain which she wishes she could conceal not only from those around her but from herself. Only the composition of the poem gives her the psychological distance she needs to get through the night at “a place away from my bed.” This is ‘The Kagerō Diary’ prose style at its best, not a word wasted, delivering an event in the past as though it were occurring before the reader who is given privileged access to her mind. It was passages such as this which made me scrupulous about always translating quoted interior monologue explicitly and using italics to set it apart.

In the ‘Ochikubo monogatari,’ however, quoted interior monologue is used extensively as a kind of shorthand to narrate the story. The following example needs some context. The love story in ‘Ochikubo monogatari’ between the heroine and hero is mirrored in a lower social register by the relationship between the heroine’s serving woman Akogi あこぎ and the hero’s foster brother Tachiwaki 帯刀. In fact, it is the prior relationship between the two servants/companions that enables the main love story. These two characters are well developed and especially in the first part of the work often outshine the hero and heroine in intelligence and energy. This passage takes place after the rescue of the heroine has been achieved. The hero and Tachiwaki have broken into the storeroom where the heroine was imprisoned and have put her in a carriage which is about to carry them all to safety.

The passage in the original is one long sentence with two embedded quotations of interior monologue, the first one, Akogi’s own thought and the second one, a quotation of what she imagines the stepmother to be

thinking. These two levels of quotation are marked in the original with ‹…› for Akogi's thoughts and «…» for the stepmother's thoughts. The first translation renders the passage as literally as possible to make apparent the embedded quotations and the structure of the passage as a single sentence. The second translation gives a more naturalized reading experience.

> 「あこぎも乗れ」とのたまふに、〈かの典薬が《ちかぢかしくやありけむ》と北の方思ひたまはむ〉、ねたういみじうて、かのおこせたりし文、二たびながらおしまきて、ふと見つべく置きて、御櫛の箱ひきさげて乗りぬれば、をかしげにて、飛ぶやうにして出でたまひぬ。('Ochikubo monogatari,' SNKBZ 17: 137)

> *"Akogi mo nore" to notamau ni, ‹kano Ten'yaku ga «chikajikashiku ya» to Kita no Kata omoi-tamawamu›, netō imijūte, kano okosetarishi fumi, futatabi nagara oshimakite, futo mitsu beki okite, mi-kushi no hako hiki-sagete norinureba, okashige nite, tobu yō ni shite ide-tamainu.*

> [He] called down, "Akogi, you get in too," but [she] thought, *That Old Clerk, I bet the Mistress is still thinking, '[they] must have been intimate,'* finding this so annoying, she took the two letters that old man had sent, folding them lengthwise and leaving them where they would be sure to be found and, when she, having picked up and tucked under her arm her lady's comb box, had mounted [the carriage], delightfully as though flying, it departed.

> He called down, "Akogi, you get in too," but Akogi thought, "I bet the Mistress is still thinking that awful Old Clerk succeeded in getting intimate with my lady." Finding this so annoying, she took the two letters the old man had sent, folded them lengthwise and left them where they would be sure to be found. Then, with her Lady's comb box carefully tucked under her arm, she mounted the ox carriage, which departed with a sprightly lurch as though flying.

In translating 'The Kagerō Diary,' I strove to translate as literally as possible so long as the result was intelligible and aesthetically pleasing. Most of the time, this seemed attainable, but I trust that the example above reveals that such a strategy cannot be followed for the 'Ochikubo monogatari.' In the original, the long compound sentences of the tale keep the action moving quickly, but transposed to English (or I suspect any European

language) they become confusing as well as appearing clumsy and inept. Quoted monologue within quoted monologue also appears clumsy. For my translation of the 'Ochikubo monogatari,' I have ended up adding more than omitting but I count the paraphrasing of quoted monologue as a kind of omission.

### 5.2 Poetry

Moving to the issue of poetry translation, here is a poem from 'The Sarashina Diary' that exemplifies preserving order of content over syllable count. As mentioned earlier, the *waka* form of poetry consists of five lines with a syllable count for the lines following the pattern 5-7-5-7-7. This poem was the first poem of Takasue's Daughter to be included in an imperial anthology. It was included in the 'Shinkokinshū' 新古今集 ('New Collection of Ancient and Modern Verse,' ca. 1200, poem no. 56), chronologically the second of the two most important imperial anthologies.

> あさみどり　花もひとつに　霞みつつ　おぼろに見ゆる　春の夜の月 ('Sarashina nikki,' SNKBZ 26: 335; spaces added)
>
> *asamidori / hana mo hitotsu ni / kasumitsutsu / oboro ni miyuru / haru no yo no tsuki*
>
> Lucent green—
> misting over, becoming one
> with the blossoms too;
> dimly it may be seen,
> the moon on a night in spring.
> [3-8-5-6-7]
> ('The Sarashina Diary,' trans. Arntzen/Itō, p. 174)

The figures below the translation show that the syllable count in English differs from the original. Of course, it is common practice in the translation of poetry to privilege content over form even though form is so important to poetry. It is simply that form cannot often make the transition between languages. There are also good arguments for not trying to dupli-

cate Japanese syllable count in English because the sound structures of the two languages are so different. A Japanese speaker will hear at least three syllables in the word 'orange' (and need four characters of Japanese script to transpose it), whereas an English speaker will only register one.

With the *waka* poems in the 'Ochikubo monogatari,' however, I found the content sometimes too thin to turn into poetry. I resorted then to translating the poems as much as possible with the traditional syllable count of the waka form. If it does not result in the same musicality produced by the syllable pattern in Japanese, at least rigid adherence to form provides a unity that helps set the poems apart and encouraged more creativity with syntax. The following is an example of one of the heroine's poems from the early unhappy period in her life. A literal translation follows the original and then a translation that keeps to the 31-syllable count by adding a bit of padding:

> 世の中に　いかであらじと　思へども　かなはぬものは　憂き身なりけり
> ('Ochikubo monogatari,' SNKBZ 17: 20; spaces added)
>
> *yo no naka ni / ikade araji to / omoedomo / kanawanu mono wa / uki mi narikeri*
>
> In this world / how much I want not to be / even though I long thus / since [it is] not granted / I am wretched
>
> Although all I want
> in this sad world is simply
> to exist no more,
> since nothing ever goes my way,
> how wretched have I become.
> [5-7-5-7-7]

### 5.3 Names

The final issue I want to address is the absence of a name for the main heroine in the 'Ochikubo monogatari.' The central female characters in Heian *monogatari* are never given what constitutes the equivalent of a personal name in western languages. They acquire nicknames often taken

from images in poems that appear in the narrative along with the characters or from the names of the apartments in which they reside. This is the case for all the women characters in 'The Tale of Genji' for example. Lesser characters in serving positions are designated by nicknames derived from the governmental posts in which their male relatives serve. This fictional practice mirrors what is known of actual Heian-period social practice. The family identities of the prominent women writers of the Heian period are known, but, as with Michitsuna's Mother and Takasue's Daughter, we do not know the personal names of any of them. The heroine in the 'Ochikubo monogatari' is referred to in various ways, including:

– *Ochikubo no Kimi* 落窪の君 ('Lady of the Low Chamber')
– *kimi* 君, *onnagimi* 女君 ('the lady')
– *onna* 女 ('the woman')
– *aga kimi* あが君 ('my dearest/my lady,' used only by her husband)
– *Kita no Kata* 北の方 ('mistress of the household/the mistress,' used after she becomes the hero's wife in a separate residence)

The closest she has to a personal name is the first one in the list above, which is derived from her living quarters in the family home, the *ochikubo* 落窪 ('low chamber'). Her stepmother has assigned her to a small room that is on lower level than the rest of the house. Japanese traditional houses are raised up on posts so that air can freely circulate underneath, an important feature for residences in a climate with a hot, humid summer. There is uncertainty as what the *ochikubo* actually was in Heian residential architecture, but it seems to have been a chamber raised up only half a level and used most of the time as a multi-utility space. Apparently, however, when there was death in the family, it was where the corpse was laid out before cremation (Fujii, SNKBT 18: 411). Also, from the fact that the father passes the heroine on his way to the toilet, it appears that the room was placed close to the latrines. If that isn't bad enough, Mitani notes evidence that *kubo* 窪 was a euphemism for 'vagina' and that that connotation is likely present in the word *ochikubo*. It ex-

plains why the first time the hero hears the lady's nickname, he is so enraged by it that he commits himself to wreak revenge on the family (Mitani, SNKBZ 17: 354). It is obvious that the stepmother meant the nickname to be deeply insulting. This is the name of shame she leaves behind when she escapes the family home. Thus, electing to use 'Lady Ochikubo' as a name for the character throughout the novel was not possible in my opinion.

The other terms are obviously not names. *Onnagimi* and *onna* are often stand-ins for the personal pronouns that do not exist classical Japanese, in other words, they take the place of 'she.' Other times *onnagimi* is a term of respectful address: 'my lady,' 'your lady,' as in, 'Has your lady looked at the letter yet?' *Aga kimi* is an endearing form of address taking the place of 'you' in speech addressed by the hero to the heroine. After the heroine is established in a separate residence belonging to her husband, she is referred to as *Kita no Kata* ('Mistress of the Household,' literally, 'the Honorable Person of the Northern Quarters' because the central women's quarters were located in the north end of the house). The stepmother is also called *Kita no Kata*, as is the mother of the hero, so, for a substantial part of the novel, three principal characters are referred to by the same 'name.' Presumably readers of the time could tell easily from the context which *Kita no Kata* was present on the narrative stage, but it is very difficult for modern Japanese readers to keep track of the characters in the original judging from the necessity for explanatory notes in the scholarly editions, and if these designations are translated as is into English, it is confusing to say the least. This is the practice followed by Whitehouse and Yanagisawa in their translation from 1965 with the addition of footnotes to help identify which character is on stage.

Here we have a novel without a fixed name for one of its central characters. It points to a very different conception of personhood. It is as though a person's identity is not linked to a single personal name but rather exists as a complex of identities designated by forms of address and references

that are keyed to the relation of the addresser to the addressee. This phenomenon is connected to the fact that the narrator in classical Japanese *monogatari* assumes a position of deference to the tale's characters of superior status. Thus, even though the heroine of the 'Ochikubo monogatari' is being treated worse than the servants and has been given this horrible nickname, the narrator always relates her thoughts and actions with honorific suffixes. She is of royal lineage and the narrator never forgets that. To refer to the heroine by a personal name is simply unnatural within the classical narrative frame.

When it comes to translating this aspect of the *monogatari* into English, however, it cannot be rendered literally and still maintain a clear narrative line. One must choose between having the translation accurately reflect the social structure of the time or making the story work in English. I struggled with this problem through most of translating the first book of the tale. Although this may sound strange, I also had difficulty relating to the heroine. Without a personal name, she seemed elusive, as much as I could appreciate intellectually why she does not have a personal name. Then, at a certain point, the name Aya came to me. I didn't consciously devise it by looking up possible personal women's names in the Heian period. One day, it was just there, and it seemed to work. Here is the passage that introduces the heroine into the tale, in two versions, one more literal without a name for the heroine and the other with the name.

> また時々通ひたまふわかうどほり腹の君とて、母もなき御娘おはす。
> ('Ochikubo monogatari,' SNKBZ 17: 17)
>
> *Mata tokidoki kayoi-tamau wakōdōri hara no kimi tote, haha mo naki ōn-musume owasu.*
>
> He had another daughter who had lost her mother, a woman of royal lineage whom he had visited from time to time.
>
> He had another daughter named Aya born from a casual affair he had pursued with a woman of royal lineage, who had died when Aya was still a child.

Here is that introductory sentence again in my preferred translation within the full context of the extended description of the heroine, her place in the household and the bestowing of the nickname. I present it to show that the name does not have to be used all the time. I do not, for example have other characters call her by this name. It is useful, however, to have the name as a marker for an existence that the heroine has on her own.

> He had another daughter named Aya born from a casual affair he had pursued with a woman of royal lineage, who had died when Aya was still a child. Now, the man's wife and mistress of his household refused to consider this stepdaughter worthy even of inclusion among the household serving maids. (One can only wonder at the heart of such a stepmother.) Rather, she had her stepdaughter live in a room separated from the main part of the mansion and on a lower level, only two bays wide. Accordingly, she also forbade the other members of the household to address her stepdaughter as one would a woman of noble rank let alone a lady of royal lineage. When the stepmother came to decide what to call this stepdaughter, since, after all it seemed she felt obliged to pay some respect to the girl's lineage, she fixed on the mocking title 'Lady of the Low Chamber.'

I only use the name Aya when the character is acting on her own or dwelling on her own feelings or when it is absolutely necessary to differentiate her from other characters in the passage.

This problem occurs to a lesser extent with the names of other characters in the tale. The hero is identified with a personal name at first appearance, Michiyori 道頼, but he is referred to in the rest of the tale by his shifting official court titles. I have opted to use his personal name most of the time, often in conjunction with his current title, and to use his official court titles on their own sparingly. The heroine's maid servant/companion is given the name Akogi early in the narrative by the stepmother with no explanation, except that she needs a new name when she is posted to serve the family's Third Daughter (San no Kimi 三の君). As 'Akogi,' the maid servant is the most active and vivid character in the first book of the tale, critical to both the romance and the rescue. Once the heroine is established in a separate residence and Akogi becomes her household man-

ager, she steps into the background of the action, and at the same time is given a new title Emon 衛門 in keeping with her increased status. Emon means literally 'Guard' and we are to assume she is given this nickname because her husband Tachiwaki has been promoted within the palace guard. It is as Akogi, however, that her personality and history have become fixed in the reader's mind. It is hard to transfer that character to the new name Emon, at least for a reader used to western forms of narrative, so I have opted to note her new title but keep referring to her by Akogi for continuity's sake.

## 6. Free Translation

When I started the process of translation, I would never have predicted that I would stray so far from my principles as to invent a name for a character. Moreover, I always considered myself opposed to the adaptation or naturalization of texts from another culture. I am much more in favor of having mainstream western literary culture open itself up to challenging narrative styles from beyond its usual parameters. Yet, the more I progressed with the 'Ochikubo monogatari,' the more I felt I had to adopt a free translation style in order to be true to the genius of the original narrative. The author of this tale was first and foremost a storyteller wanting to captivate an audience. If the entertaining quality of this text is not communicated in an accessible way to an English reading public, the tale loses its life. And, of course, it easier to take liberties with a text that can be categorized as 'low literary art.' Perhaps, after all, there is a value judgment involved. I do not think the author of this tale took its writing as serious as the women diary authors did theirs. It is posited that the early *monogatari* are anonymous because their presumably male authors were embarrassed to have their names associated with such a frivolous activity as writing fiction in the vernacular (Fujii, SNKBT 18: 408–409). One could say that fiction writing was a lark for them. So, if the author of the

'Ochikubo monogatari' was playing, cannot the translator be allowed to play too?

## 7. Reflections on 'The Tale of Genji' and Its Two Most Recent Translations in English

The process of translating the 'Ochikubo monogatari' has opened up for me a new perspective on 'The Tale of Genji.' Since 'The Tale of Genji' has come to occupy an exalted position in the canon of Japanese classical literature, it is difficult to think of it as 'pop fiction,' even though we know from the author's diary and from the discussion of fiction in the novel itself, that Murasaki Shikibu was well aware how 'low' *monogatari* was regarded as a genre. The most famous case is in Chapter 25, where she has her main character Genji first voice the generally accepted condemnation of fiction as lies and fantasies to fool women, but then has him reconsider, even going so far as to suggest that tales might be considered complementary to the official histories because they enable insight into the private side of life ignored by the official histories. Murasaki Shikibu mentions in her diary the notice her tale attracted from the Emperor and male courtiers because it references the official histories. What she achieved in 'The Tale of Genji' was a perfect union of the 'low art' of early monogatari with the sophisticated and refined writing style in the vernacular language that was brought to a height of perfection in recording psychological states by Michitsuna's Mother in 'The Kagerō Diary.' One may say by analogy, that Murasaki Shikibu did for Heian *monogatari* what Shakespeare did for Elizabethan drama. By combining the best of 'high' and 'low' culture, she brought the genre to a zenith unmatched by any earlier or later author.

I had occasion to do a review of the most recent translation of 'The Tale of Genji' in English by Dennis Washburn (New York/London: Norton, 2015), and it was natural to draw comparisons with the other twenty-first century translation of 'The Tale of Genji' by Royall Tyler (New York: Viking, 2001). Tyler's translation remains the most skillfully literary and

literal translation to date. For example, Tyler manages to handle the challenge of the absence of names for main characters by adding, similar to modern Japanese editions of the tale, before every chapter a list of 'persons' in which he also recapitulates titles and relationships among the characters from earlier chapters. It works brilliantly and makes it possible, for example, to feel Genji's rise in status through the tale almost as if one were a member of that society. On the other hand, it also makes his translation a particularly demanding read. Washburn keeps the characters and their relationships clear by more extensive use of their nicknames along with their changing titles. In fact, Washburn has made many judicious additions to produce a 'Tale of Genji' with all the lights on and many its ambiguities smoothed out. As I summed up in the review:

> [Washburn] fully captures the enthralling quality of the original, with its reliance on dialogue and interior monologues, and finely tunes the diction to the age, status and emotional state of the characters, as well as to the demands of the social situation. His translation makes some aspects of the tale more prominent. While maintaining an appropriately elevated tone, he makes the sexual excitement seething below the surface of the story much more palpable. The same can be said for the political undercurrents in the narrative. The last ten chapters of *The Tale of Genji* have a darker tone and the main characters are more troubled. With exquisite irony, the narrative progressively reveals that the seductive myth of romance is quite empty at its core. Washburn's version brings this out powerfully. (Arntzen 2017)

After working on a new translation of the 'Ochikubo monogatari,' I have come to see these two translations in a slightly different perspective. Although both translators have done justice to the full complexity of the 'The Tale of Genji,' it seems to me that Tyler has recreated magnificently the 'high literary' side of the text while Washburn has brought out more fully its 'low literary' side. The critical importance of the 'Ochikubo monogatari' as a rare surviving example of early *monogatari* in its 'low' register has also become very apparent. This is particularly true, given its parodic aspect. Parody always reveals the essential features of a literary genre. Over and above the great socio-historical value of the text, it is invaluable

to see what a contemporary author found to make fun of in the genre of romance popular at the time.

## 8. Conclusion

The rise of schools of criticism such as cultural studies and postmodernism has thrown the categories of 'high' and 'low' literature out of favor. It seems that to speak of high literary value brings guilt by association with elite culture, which has acquired negative connotations. Moreover, in the global internet-driven culture we now inhabit, popularity is everything and considerations of high and low have fallen by the wayside.

I think there is still a place for a distinction between high and low in the understanding of literature, not as a value judgment but to distinguish between different kinds of art with different goals. I have come to this position not from rigorous theoretical debate but rather from engagement in a specific translation project. Anyone who translates works of premodern literature is necessarily a scholar-translator, as defined by Michael Emmerich in his recent study of the translation and canonization of 'The Tale of Genji' as "not simply [...] a scholar who also translates, but whose scholarship, and whose knowledge, is shaped by translation" (Emmerich 2013, p. 384). He has urged the recognition that

> Translation is in fact more than theoretical—it is a particularly intense form of research, a stream of the best sort of applied work, detailed practice gushing over the pebbles and sands of settled theories, sweeping them into new alignments and configurations. (Emmerich 2013, p. 395)

In scholarly work, hypotheses must always be firmly rooted in evidence. Translation—no matter how scholarly—requires a more even balance between analysis and creativity. The process of finding a way to make a primary text 'speak' in another language requires an understanding of the goals of the original text. The literary diaries such as 'Kagerō nikki' and 'Sarashina nikki' were written for a small, sophisticated audience, and the authors were aware of breaking new ground, so they took special care with

the crafting of their language. Adhering as closely as possible to the language of the original texts seems to achieve the best results.

The author of 'Ochikubo monogatari' was writing to amuse a broader audience already intimately familiar with the 'romance' genre. There was no need to describe settings in detail or labor over expressing subtle psychological states. Instead, the author concentrated on creating witty dialogue and a plot that keeps the readers engaged. A western reader, however, is missing not only the genre familiarity but also familiarity with the social context that forged the language of the tale. To make this text in translation more accessible, my approach to translation has become much more open in the process.

## Notes

1 This translation is my working title. Previous English translation is 'The Tale of the Lady Ochikubo,' translated by Wilfrid Whitehouse and Eizo Yanagisawa (Tokyo: Hokuseido Press, 1965).

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### Abbreviations

NKBZ Nihon koten bungaku zenshū 日本古典文学全集
SNKBT Shin Nihon koten bungaku taikei 新日本古典文学大系
SNKBZ Shinpen Nihon koten bungaku zenshū 新編日本古典文学全集

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*Midorikawa Machiko*

# A World of Indirectness

## Notes Toward a Study of Characterization in 'The Tale of Genji'

*Abstract.* Characters in the early eleventh-century 'Tale of Genji' are often represented indirectly, through others' thoughts, speculations, and sensory impressions. Direct visual descriptions of a character's physical appearance are relatively rare, but major plot developments result from scenes of *kaimami* ('peeking through the crack') when male characters catch a secret glimpse of women. Sensory impressions like sound, smell, and touch are sometimes as important as visual impressions in the courtly society of the Heian period when it was the custom for upper-class women to avoid showing themselves to men. This paper examines the importance of indirectness in the narrative's representation of characters.

### 1. *Kewai* 気配

> めでたしと思ほししみにける御容貌、いかやうなるをかしさにかとゆかしう思ひきこえたまへど、さらにえ見たてまつりたまはぬをねたう思ほす。
> ('Genji monogatari,' SNKBZ 21: 375)

> He [Genji] longed to know what feature of her beauty had so smitten him [Retired Emperor Suzaku], and he chafed that he could not see her for himself. ('The Tale of Genji,' Chapter 17, 'The Picture Contest' ['Eawase' 絵合], trans. Tyler, p. 323)[1]

The woman in question is known to readers of 'Genji monogatari' 源氏物語 variously as 'the former Ise Priestess' (*zen Saikū* 前斎宮), 'the Umetsubo Consort' (Umetsubo no Nyōgo 梅壺女御) or by the sobriquet Aki-

konomu 秋好 ('she who loves the autumn'), the term adopted here. When she left the capital aged fourteen to serve as Ise Priestess (*Saikū* 斎宮), she was given the traditional parting gift of a comb by the emperor at the time, Suzaku 朱雀. As he placed a comb in her hair, he had a clear view of her face. His heart "stirred" by her uncanny beauty, he was moved to tears (Chapter 10, 'Sakaki' 賢木, 'The Green Branch'; trans. Tyler, p. 197 [quoted below]). Suzaku's half-brother Genji 源氏 takes parental responsibility for her when her service in Ise 伊勢 ends and she returns to the capital, some eight years later. In the meantime, Suzaku has become the Retired Emperor. Although Genji guesses his half-brother's feelings for Akikonomu, he decides to send her to serve the new Emperor, Reizei 冷泉. Suzaku is deeply disappointed. In the eight years that have passed, he has never forgotten the single glimpse he had of her face.

The passage quoted above comes in the scene when Genji pays a visit to Suzaku to confirm his feelings for Akikonomu. It is important to understand that although Genji is acting as Akikonomu's parental guardian, he has never actually seen her himself. His assumption that she is very beautiful is based solely on the effect she had on Suzaku when he caught a glimpse of her years earlier. The passage continues by describing the care taken by Akikonomu not to show herself to her foster-father Genji:

> いと重りかにて、ゆめにもいはけたる御ふるまひなどのあらばこそ、おのづからほの見えたまふついでもあらめ、心にくき御けはひのみ深さまされば、見たてまつりたまふままに、いとあらまほしと思ひきこえたまへり。 (SNKBZ 21: 375; emphasis added)

> She was too profoundly deliberate in manner to allow any youthful liberty into her deportment, or he would have glimpsed her by now, and what hints he caught of her appearance [*ōn-kewai*] were so unfailingly encouraging that he imagined her to be flawless. (Chapter 17, 'The Picture Contest,' trans. Tyler, p. 323)

This description of Akikonomu's character stresses her reserve and nobility. It might have been possible to catch a glimpse of her if her behavior had been 'childish' (*iwaketaru ōnfurumai*, translated by Royall Tyler as

"youthful liberty"). Instead, she had been very careful in Genji's presence, which only increased the attraction he felt for her. Genji too imagines her to be "flawless."

In the Heian 平安 period (794–1185), it was the custom for upper-class women not to show themselves to men. This was not just a matter of simply hiding their faces behind a fan. Men and women were separated by blinds (*misu* 御簾) and two kinds of moveable partitions, standing curtains (*kichō* 几帳) and panelled screens (*byōbu* 屏風).[2] Readers of 'Genji monogatari' must learn these customs, which are extremely important to keep in mind when reading the tale. Suzaku sees Akikonomu's face, but this was an exceptional circumstance. It is Suzaku's position as Emperor which gives him the rare opportunity of a glimpse during the 'ceremony of the comb of parting' (*wakare no kushi no gi* 別れの櫛の儀).

Chapter ten describes how Akikonomu completes a long period of purification before she departs for the shrine in Ise where she would serve as Ise Priestess until the next change of reign. It was a custom at court for the reigning emperor to place a 'comb of parting' in the hair of the imperial princess who was chosen as Ise Priestess. The emperor could not do this without seeing her face. This is how the scene is described:

> 斎宮は十四にぞなりたまひける。いとうつくしうおはするさまを、うるはしうしたてたてまつりたまへるぞ、いとゆゆしきまで見えたまふを、帝御心動きて、別れの櫛奉りたまふほど、いとあはれにてしほたれさせたまひぬ。(SNKBZ 21: 93)

> The High Priestess was fourteen. She was very pretty already, and her mother's careful grooming had given her a beauty so troubling that His Majesty's heart was stirred. He shed tears of keen emotion when he set the comb of parting in her hair. (Chapter 10, 'The Green Branch,' trans. Tyler, p. 197)

Young virgin women of the imperial family were appointed to the post of chief priestess of the Ise Shrine as well as to the post of High Priestess of the Kamo Shrine (*Kamo Saiin* 賀茂斎院) (Tokoro 2017). The Ise Priestess was sent to serve the Goddess Amaterasu (Amaterasu Ōkami 天照大神) as a substitute for the emperor.

Akikonomu's mother is none other than Genji's former lover Lady Rokujō, known to Japanese readers of 'Genji monogatari' as Rokujō no Miyasundokoro 六条御息所. The term *Miyasundokoro*, which could be literally translated as "Honorable Resting Place," is a term for a consort of an emperor or prince (Cranston 2006, p. 1076). Tyler refers to her as the 'Rokujō Haven' throughout his translation. Rokujō had been married to a prince who was expected to ascend the throne but died before becoming emperor. This happened before the main events narrated in the tale. When she appears in chapter four, 'Yūgao' 夕顔 ('The Twilight Beauty'), Rokujō is already a widow, aged twenty-four, and the mother of a daughter. It is striking that none of the extant manuscripts of the tale contains an account of how Genji first became intimate with her.

From chapter four, 'Yūgao,' to chapter ten, 'Sakaki,' Rokujō is depicted as very jealous, suffering from mental anguish. Genji's wife Aoi (Aoi no Ue 葵上) is killed by her *iki-ryō* 生き霊 ('living spirit'). Much later in the tale, in chapter forty, 'Minori' 御法 ('The Law'), years after Rokujō has died, Genji's wife Murasaki (Murasaki no Ue 紫上) is possessed and killed by the spirit of the deceased Rokujō, a *shiryō* 死霊 ('spirit of the dead').

A very different, gentler side of Rokujō appears in her meetings with Genji after their physical relations have ended, notably in their long exchanges in chapters ten ('Sakaki') and fourteen ('Miotsukushi' 澪標, 'The Pilgrimage to Sumiyoshi'). The latter describes how Genji visits her for one last time just before her death. She begs him to take care of her daughter, warning him not "to look on her with a lover's eye" (*omōshi hito mekasamu* 思ほし人めかさむ; trans. Tyler, p. 293; SNKBZ 21: 311). He agrees to her dying wish by assuming a parental role for her daughter. He later plays an active role in enabling Akikonomu's marriage.

Chapter seventeen, 'The Picture Contest,' describes a competition to decide the winner among the elegant illustrated tales presented to the court. On the surface this is a refined pastime, but underneath it involves a struggle between court ladies for position in Emperor Reizei's rear court

(*kōkyū* 後宮). This episode reflects the heightened political tensions of court life. Akikonomu's side triumphs. This is a political victory for Genji, for by helping her win, he secures the Emperor's love for his adopted daughter. She is later promoted from imperial consort (*nyōgo* 女御) to empress (*chūgū* 中宮).

Another famous competition involving Akikonomu is a poetic competition of ladies on the topic of whether spring and autumn is superior (later referred to as *shunjū yūretsu ronsō* 春秋優劣論争). Lady Murasaki is one of those arguing for the superiority of spring, while Akikonomu argues in favor of autumn. Her sobriquet Akikonomu ('she who loves the autumn') derives from this episode in chapter nineteen, 'Usugumo' 薄雲 ('Wisps of Cloud').

Later, when Emperor Reizei steps down from the throne, Akikonomu asks Genji repeatedly to be allowed to take religious orders so as to be able to devote herself to prayers for her mother's salvation (*bodai* 菩提). When her foster-father Genji hears her wish to take the tonsure, he takes strong measures to prevent this from happening. This occurs in chapter thirty-eight, 'Suzumushi' 鈴虫 ('The Bell Cricket'), a short chapter that Arthur Waley omitted entirely from his translation. The moment when Akikonomu expresses her wish is described as follows: "Her Majesty replied with all her customary youth and composure" (*ito wakō ōdoka naru ōnkewai nite* いと若うおほどかなる御けはひにて; trans. Tyler, p. 714; SNKBZ 23: 387). The key word in the original is *kewai* けはひ meaning the 'appearance/sense/air' conveyed by something or someone. Dictionaries define it first as the appearance suggested by a 'sound or odor,' then as a 'vague, general impression' or atmosphere 'conveyed to the senses' ('Nihon kokugo daijiten,' vol. 7, p. 262). It thus implies getting an unclear understanding through sensory impressions. Akikonomu tells Genji directly of her desire to take the tonsure, but their conversation is conducted not face to face, but through either a standing curtain (*kichō*) or blinds

(*misu*) that prevent Genji from seeing her. Even at relatively late stage of the narrative, Genji is not able to see her directly.

As this example shows, the world described in the tale is one in which high-ranking men are usually unable to look directly at ladies' faces. Not surprisingly what this means is that the very act of 'seeing' a woman can cause major plot developments, as we will discuss next.

## 2. Plot Devices

### 2.1 Utsusemi

The moment when a female character is seen by a male character can be a key turning point in the plot of a Heian tale. Just as men were not supposed to look directly at the faces of upper-class women, the same was true to a certain extent of women of the middle rank. As a consequence, the narrative provides many different opportunities for its protagonist to catch sight of women. These scenes are generally referred to as *kaimami* 垣間見, "peering through a crack" (Tyler 2002, paragraph 7). Let us examine one of the most famous examples, a scene from chapter three, 'Utsusemi' 空蝉 ('The Cicada Shell').

Genji's interest in women of the middle rank had been aroused by hearing the 'rainy night' tales of three male companions in chapter two, 'Hahakigi' 帚木 ('The Broom Tree'). The same chapter ended with an account of how a directional taboo (*katatagae* 方違へ) results in his spending the night in a house where he has an encounter with a married woman, who is known to readers as Utsusemi 空蝉 (Childs, 1999, pp. 1065–1067). Returning to the house some days later in hope of a second encounter, Genji secretly watches Utsusemi play a game of go 碁 with her stepdaughter, a young woman known by the sobriquet of Nokiba-no-ogi 軒端荻 ("reed at the eaves"; trans. Tyler, p. 48, note 3). The following passage describes how Genji manages to peek inside the room (the boy mentioned is Utsusemi's younger brother, Kogimi 小君):

> [...] やをら歩み出でて簾のはさまに入りたまひぬ。この入りつる格子はまだ鎖さねば、隙見ゆるに寄りて西ざまに見通したまへば、この際に立てたる屏風端の方おし畳まれたるに、紛るべき几帳なども、暑ければにや、うちかけて、いとよく見入れらる。(SNKBZ 20: 119)

> He slipped in between the blinds. They had not yet secured the shutter through which the boy had entered, and a gap remained. Genji went to it and peered in toward the west. The nearer end of a screen was folded, and the heat probably explained why a curtain that should have blocked his view had been draped over its stand, so that he could see quite well. (Chapter 3, 'The Cicada Shell,' trans. Tyler, p. 48)

Because it is not easy to understand exactly how Genji is able to look inside the room, there have been many attempts to visualize where the characters are located. The most convincing reconstruction is by Hirayama (2001). More general studies on the concept of space (*kūkan* 空間) and Heian villa architecture (*shindenzukuri* 寝殿造) in 'Genji monogatari' can be found in Ike 1989, Yasuhara 2000, Iwahara 2008, Kim 2008, and Ōta 2010.

While a few aspects of Heian-period housing are preserved in traditional Japanese-style buildings today, there are also some fundamental differences, which have been discussed extensively in books about architecture. An inner chamber (*moya* 母屋) like this would be separated with blinds (*misu*) from the aisle (*hisashi* 廂). Pairs of upper and lower lattice shutters (*kōshi* 格子)[3] divided the aisle and the veranda (*sunoko* 簀子). Blinds were hung inside the shutters. Two movable items of furniture might also obstruct the view of anyone looking inside: screens consisting of hinged panels (*byōbu*) and curtains mounted on a stand (*kichō*), as mentioned earlier.[4] To visualize this scene, it may be helpful to refer to a pictorial representation. All of the main elements apart from a screen are depicted in an illustration to the scene quoted above in the seventeenth-century manuscript of 'Genji kokagami' 源氏小鏡 ('A Small Mirror of Genji') that is held by the Bavarian State Library (Bayerische Staatsbiblio-

thek) in Munich. Details differ, as the structure of Japanese houses had changed considerably in the intervening centuries.

'Genji kokagami,' vol. 1, Munich, Bayerische Staatsbibliothek, Cod.jap. 14(1, fol. 17$^{v}$

These obstacles should have made it difficult to catch a glimpse of a woman in the chamber, let alone to have a clear view of her face. However, this episode is set in summer. The passage above contains a careful description of how the curtain has been 'draped over its stand' so as to allow the cooler night air to circulate (a detail that is missing in the illustration). An oil lamp has been lit to illuminate the inner chamber. Genji is able to see into the chamber from his hiding place in the dark outside.

As a result, all of the necessary conditions are met for Genji to observe closely the two figures of the women playing go. They are described through Genji's eyes in a way that contrasts their two personalities: the woman whom Genji has come to see is reserved in her mannerisms, while the other, younger woman seems more open, more relaxed. Here is Tyler's translation of the two key passages of description. Note how the physical description is also a form of character description. Genji "could see quite well" (*ito yoku mi-ireraru*).

> 母屋の中柱に側める人やわが心かくるとまづ目とどめたまへば、濃き綾の単襲なめり、何にかあらむ上に着て、頭つき細やかに小さき人のものげなき姿ぞしたる、顔などは、さし向かひたらむ人などにもわざと見ゆまじうもてなしたり。手つき痩せ痩せにて、いたうひき隠しためり。(SNKBZ 20: 120)

> His first thought was that the one by the central pillar of the chamber, facing away from him, must be she. She seemed to have on two layered, silk twill shifts of a deep red-violet, with some sort of garment over them. Her slender head and slight build left no marked impression, and she was keeping her partner from getting any view of her face. She was also doing her best to conceal her strikingly slim hands. (Chapter 3, 'The Cicada Shell,' trans. Tyler, p. 48)

Genji observes Utsusemi first. He is seeing her properly for the first time, as their earlier tryst was in darkness. She is seated with her back toward him, so he can see her only partly from the side. He notes what she is wearing. He notes that she is slightly built, but what strikes him most is the effort she makes to hide her face from her stepdaughter Nokiba-no-

ogi. She is even trying to hide her thin hands from the young woman, who is described in contrasting fashion:

> いま一人は東向きにて、残るところなく見ゆ。白き羅の単襲、二藍の小袿だつものないがしろに着なして、紅の腰ひき結へる際まで胸あらはにばうぞくなるもてなしなり。いと白うをかしげにつぶつぶと肥えてそぞろかなる人の、頭つき額つきものあざやかに、まみ、口つきいと愛敬づき、はなやかなる容貌なり。髪はいとふさやかにて、長くはあらねど、下り端、肩のほどきよげに、すべていとねぢけたるところなく、をかしげなる人と見えたり。(SNKBZ 20: 120)

> Her opponent was facing east, toward Genji, and he could see all of her [*nokoru tokoro naku miyu*]. She had on a pair of sheer white shifts and what seemed to be a violet outer gown, so casually worn that her front was bare all the way down to her scarlet trouser cord—a casual getup to say the least. Tall, very fair-skinned, and nicely rounded, striking in head and forehead and with a delicious mouth and eyes, she made an arresting sight. Her fine, thick hair was not long, but it flowed in handsome sidelocks to her shoulders, and there was in fact nothing about her to wish otherwise. She was a pleasure to look at [*okashige naru hito to mietari*]. No wonder her father was so proud of her, although it occurred to Genji that her manner could do with a little restraint. (Chapter 3, 'The Cicada Shell,' trans. Tyler, p. 48)

Genji has a good view of Nokiba-no-ogi, who is facing in his direction. The description suggests that she is more relaxed and extrovert in character. Believing no men to be in the house on this hot summer evening, she is wearing her gown in a very casual fashion (*naigashiro ni kinashite*), leaving it open down to the waist. Genji finds her physically attractive, but he is also shown to be critical of her uninhibited manner, comparing her lack of restraint unfavorably with the more reserved Utsusemi. After the passage quoted above, Genji overhears the younger women speak. Again, he has a negative impression of her for speaking too fast and too much. Later in the same night, Utsusemi manages to escape as Genji enters the chamber, leaving Nokiba-no-ogi behind. Genji lies down next to the sleeping girl. He soon realizes his mistake, but instead of making his excuses and withdrawing, he spends the night with her. Although this turn of events is surprising, it is foreshadowed by the earlier *kaimami*, 'peeking' scene.

## 2.2 The Old Woman

Before leaving the 'Utsusemi' chapter, we should look at a minor character who appears in a single scene, one who represents a class of women below the 'middle class' (*naka no shina* 中の品) represented by Utsusemi. This character is an old woman who bumps into Genji as he is being smuggled out of the house by Kogimi. The scene is a comic interlude, but with an element of suspense, for Genji must not be seen by anyone.

As he and the young boy are quietly trying to leave the house, they are noticed by this old lady, apparently on her way to the privy (*kawaya* 厠). Genji and Kogimi are startled when she stops and speaks to them. It is a surprise to readers, too. The passage reads as follow:

> 戸をやをら押し開くるに、老いたる御達の声にて、「あれは誰そ」とおどろおどろしく問ふ。[...]「夜中に、こはなぞと歩かせたまふ」とさかしがりて、外ざまへ来。いと憎くて、「あらず、ここもとへ出づるぞ」とて、君を押し出でたてまつるに、[...]「またおはするは誰そ」と問ふ。「民部のおもとなめり。けしうはあらぬおもとの丈だちかな」と言ふ。丈高き人の常に笑はるるを言ふなりけり。[...]「いま、ただ今立ち並びたまひなむ」と言ふ言ふ、我もこの戸より出でて来。[...]「おもとは、今宵は上にやさぶらひたまひつる。一昨日より腹を病みて、いとわりなければ下にはべりつるを、人少なりとて召ししかば、昨夜参上りしかど、なほえ堪ふまじくなむ」と憂ふ。答へも聞かで、「あな腹々。いま聞こえん」とて過ぎぬるに、かろうじて出でたまふ。(SNKBZ 20: 127–128)

> "Who's that?" an old woman's voice called as he softly opened the door.
>
> [...]
>
> "Where are you off to in the middle of the night?" She started for the door.
>
> He hated her. "No, no, I'm just going out a little!" He thrust Genji before him.
>
> [...]
>
> "Who's that with you?" the old woman said. "Ah, it must be Mimbu. You just go up and up, Mimbu, don't you!" The woman she thought he had with him was always being teased about her height. "And in no time you'll be just as tall as she is!" she muttered, emerging through the door.
>
> [...]
>
> "Were you waiting on her ladyship yesterday evening?" [...] "I've been down in my room with a bad tummyache that started the day before yester-

> day, but she called me anyway because she wanted more of us with her, so last night I went after all, and it was too much for me." Without pausing for an answer, she groaned, "Oh, it hurts, it hurts! I'll talk to you later!" And off she went. (Chapter 3, 'The Cicada Shell,' trans. Tyler, p. 51)

Seeing a tall person with Kogimi, the old woman asks who it is, but then answers her own question, jumping to the conclusion that it is another female servant called Mimbu. She tells Kogimi that he will soon be as tall as Mimbu, then rushes off, complaining once more of her stomach problems. Genji is fortunate to escape without detection, but the incident is a reminder of the danger of being caught when 'secretly walking abroad' at night (*shinobi aruki* 忍び歩き). One of the forces that drives forward the plot of 'Genji monogatari' is *kaimami*, but here 'seeing' does not involve a stolen glance. Instead, the fact that Genji is seen by the old woman is a reversal of the motif. She looks right at Genji and the boy, causing them a moment of panic. Readers' suspense ends in comic relief when the woman mistakes Genji for a tall female servant. This incident reminds us that 'seeing' can function in many different ways to move forward the plot.

### 2.3 The Safflower Princess (Suetsumuhana) and Others

The rules about of women not being seen by men might seem to hinder narrative development, but in fact, the opposite is true. There are many examples in 'Genji monogatari' of plots constructed around the problems faced by men who become involved with women before they are able to see them properly. This is not unheard of in other literary tradition. In medieval European literature, one of the conventions of courtly love is the idea of a man becoming enamoured of a lady he has never seen, as in the case of the Provençal poet Jaufre who falls in love with the countess of Tripoli without ever having seen her (Topsfield 1975, p. 42). In 'Genji monogatari' this motif is developed in many different ways, including for comic relief. In chapter six, 'Suetsumuhana' 末摘花 ('The Safflower'), both Genji and his friend Tō-no-Chūjō 頭中将 go to great lengths to woo a

princess whom neither has seen. Only after he makes love with her does Genji happen to see her face in the reflected light of the snow outside.

The sudden sight of a woman is also a plot device in chapter twenty-five, 'Hotaru' 蛍 ('The Fireflies'), when Genji releases fireflies in a dark room to reveal a woman's face to a suitor. In chapter thirty-four, 'Wakana jō' 若菜上 ('Spring Shoots I'), a series of tragic events is triggered when a frightened cat runs out from the chamber of the Third Princess (Onna Sannomiya 女三宮), Genji's principal wife at the time. The cat's leash catches on the blinds and raises them, exposing the lady to the gaze of a young nobleman outside, Kashiwagi 柏木, who becomes obsessed with her from this one glimpse.

Space here does not permit detailed analysis of these episodes of visual exposure. Instead, we will look at a particular variation of the theme: when a man's inability to see a woman leads him to learn more about her through his sense of touch. While this stimulates the imagination of modern readers, it can also be disturbing to our modern sensibilities. An example comes in the fifth chapter, 'Wakamurasaki' 若紫 ('The Young Murasaki').

### 2.4 'Wakamurasaki' (Chapter 5, 'The Young Murasaki')

At this point in the narrative, the young Murasaki is around ten years of age by the traditional system of counting age, or around nine years old by a modern count.[5] Genji sees her for the first time in a classic example of *kaimami*, peering through a gap in the fence of a house where she is staying with her grandmother. However, he is not able to see her face to face for some time. Even though she is still a young girl, it is not proper for her to show herself freely in front of a man.

After the death of her grandmother, Genji pays a visit to the house in the city where she is living. Hearing that a person wearing a formal silk robe (*nōshi* 直衣) has arrived, Murasaki rushes in the room, calling to her nurse: "Shōnagon! Where is the gentleman in the dress cloak? Is father

here?" (trans. Tyler, p. 101). She is taken aback to discover that the man is Genji, and not as she expects, her father, Hyōbukyō no Miya 兵部卿宮 ('His Highness of War'). Yet even in this situation, they are only able to hear, not see each other. The narration reflects Genji's perceptions, which are aural, not visual: "Her voice as she approached was very sweet" (*yori-owashitaru ōnkoe, ito rōtashi* 寄りおはしたる御声、いとらうたし; trans. Tyler, p. 101; SNKBZ 20: 242). It would seem that a standing curtain separates Genji from the girl. He speaks to her through the curtain, gently encouraging her to approach. Recognizing Genji from a previous visit—by sound rather than sight—she realizes her mistake and demands to be taken back to the inner room to sleep.

> [...] 恥づかしかりし人とさすがに聞きなして、あしう言ひてけりと思して、乳母にさし寄りて、「いざかし、ねぶたきに」とのたまへば、[...] (SNKBZ 20: 242–243)
>
> She recognized the voice of the gentleman who had overawed her, and she regretted having spoken. Instead she went straight to her nurse. "Come," she said, "I am sleepy!" (Chapter 5, 'The Young Murasaki,' trans. Tyler, p. 102).

Genji tries hard to win her around, telling her,

> 「いまさらに、など忍びたまふらむ。この膝の上に大殿籠れよ。いますこし寄りたまへ」(SNKBZ 20: 243)
>
> "Why are you still hiding from me? Sleep on my lap, then! Do come a little closer!" (Chapter 5, 'The Young Murasaki,' trans. Tyler, p. 102)

The nurse encourages her, pushing her forward. The standing curtain still separates Genji from the girl, but he is very close to her now. He puts his hand stealthily under the curtain and touches her hair:

> [...] 何心もなくゐたまへるに、手をさし入れて探りたまへれば、なよよかなる御衣に、髪はつやつやとかかりて、末のふさやかに探りつけられたるほど、いとうつくしう思ひやらる。(SNKBZ 20: 243)
>
> The little girl sat down innocently, and he reached under the blind to touch her. He felt a delicious abundance when his hand came to the end of her tresses, which spilled richly [*tsuyatsuya to*] over her soft clothing, and he

imagined the beauty of her hair [*ito utsukushū omoiyararu*]. (Chapter 5, 'The Young Murasaki,' trans. Tyler, p. 102)

One of the main criteria for women's charms in this period was the beauty of their hair. Genji cannot see Murasaki's hair, but he can feel it and thus mentally 'see' what it is like. His next action is startling:

手をとらへたまへれば、うたて、例ならぬ人のかく近づきたまへるは恐ろしうて、「寝なむといふものを」とて強ひて引き入りたまふにつきてすべり入りて、[...] (SNKBZ 20: 243)

Next he took her hand, at which she bridled to have a stranger so close [*utate, rei naranu hito no, kaku chikazuki-tamaeru wa, osoroshūte*] and drew back [*shiite hiki-iri-tamau*], complaining to Shōnagon, "But I want to go to sleep!"

He slipped straight in after her [*suberi-irite*]. (Chapter 5, 'The Young Murasaki,' trans. Tyler, p. 102)

He continues to hold her by the hand as he enters the chamber. It is only at this point that he meets her face-to-face for the first time. Murasaki is still a child, too young to be the object of Genji's sexual attention. The scene is described in a way that suggests an intimate encounter, without actually being one.

As readers of the 'Tale' are already aware, Murasaki is niece to Fujitsubo 藤壺, Genji's stepmother and the object of his secret and forbidden love. The reason Genji is drawn so strongly to Murasaki is because of her striking resemblance to Fujitsubo. As a child, Genji was permitted behind the blinds of the women's quarters of the palace, where he saw Fujitsubo for the first time. However, from the time he became an adult, Genji was seldom able to meet her or see her. It is only after the account of his discovery of Murasaki that readers witness an illicit encounter between Genji and Fujitsubo, not their first, but the first to be described in the tale. The chapter thus has two important plot developments: the discovery of the young Murasaki and the secret encounter with Fujitsubo, one that results in her conceiving Genji's child. As far as readers are told in the tale, Genji and Fujitsubo do not meet many times in all, even including encounters

that are only hinted at. It is likely that the encounter described in the tenth chapter ('Sakaki'), which takes place five to seven years after the events related in 'Wakamurasaki,' is the last time they secretly meet. The account is unusually dramatic. Let us look at it in detail.

### 2.5 'Sakaki' (Chapter 10, 'The Green Branch')

Genji visits Fujitsubo without prior notice and forces himself on her. His passionate pleas fail to move her, and she refuses to speak to him. In great mental anguish, Fujitsubo suffers physical collapse. When she is overcome by sudden chest pains, her ladies rush to her side. Genji finds himself unable to leave when he should, without being detected. The ladies force him into a smaller room, a 'retreat' (*nurigome* 塗籠), where he hides all night, unbeknownst to Fujitsubo. In the morning she feels slightly better and enters the 'day sitting room' (*hiru no omashi* 昼の御座). She is left with only a few gentlewomen in attendance when the other women looking after her leave. Quietly opening the door of the retreat, Genji creeps forward to the gap between two screens. To his astonishment and delight, he can see Fujitsubo by day: "The joy of so rare a sight started tears from his eyes" (*mezurashiku ureshiki ni mo, namida ochite mi-tatematsuritamau* めづらしくうれしきにも、涙落ちて見たてまつりたまふ; trans. Tyler, p. 203; SNKBZ 21: 109).

After a miserable night spent in the cramped room, Genji weeps with happiness at an unaccustomed sight: the unimpeded view in daylight of the woman he loves. 'Tama no ogushi' 玉の小櫛 ('The Jeweled Comb,' 1799), an Edo-period commentary by the scholar Motoori Norinaga 本居宣長 (1730–1801), explains why Genji finds the sight of Fujitsubo so special (*mezurashiki* めづらしき): he would not have seen her face on the night before when they made love ('Genji monogatari tama no ogushi,' p. 406). Just as modern readers need to be aware of Heian customs regarding prohibitions on ladies being seen, it seems from Norinaga's comment that Edo readers also needed to be reminded that courtly love trysts

in the Heian period occurred at night, with the lovers unable to see each other clearly.

Her "inexpressible beauty" (*imijū rōtage nari* いみじうらうたげなり; trans. Tyler, p. 203; SNKBZ 21: 109) is also focalized through Genji. Many years ago, he had been struck on first seeing the young Murasaki by her resemblance to Fujitsubo. Now the opposite occurs, he is surprised by how much Fujitsubo resembles his wife Murasaki, whose face he now knows well.

There is some uncertainty about how to visualize what happens next. Fujitsubo seems to be sitting behind a hanging curtain (*michō* 御帳). In his impatience to embrace her, he is caught up in the curtain, taking hold of the hem of her robe. When he asks her to look at him, she refuses, and tries to escape. She sheds the robe she is wearing, but Genji has taken hold of her long hair:

> 御衣をすべしおきてゐざり退きたまふに、心にもあらず、御髪の取り添へられたりければ、いと心憂く、宿世のほど思し知られていみじと思したり。(SNKBZ 21: 110–111)

> She slipped off her dress robe to escape, only to discover with horror that he had accidentally caught her hair as well, and with a sinking heart she knew the force of her fate. (Chapter 10, 'The Green Branch,' trans. Tyler, pp. 203–204)

## 3. Conclusion

The physical description of female figures in 'Genji monogatari' is rare, but when it does occur, it is of significance, either as a form of characterization, as we saw in the case of Utsusemi and Nokiba-no-ogi, or as a significant event in the plot, triggering further developments, as we saw with Murasaki and Fujitsubo. In the medieval Western tradition, the 'head to toe' physical depiction of characters (*efficio*) was a technique inherited from classical rhetoric, and could be enjoyed for its own sake, without necessarily being essential to the story. We see this in the Prologue to Chaucer's 'Canterbury Tales,' for example, where the pilgrims, male and

female, are described at considerable length, with details not only about their dress and physical appearance, but also about their individual speech patterns and mannerisms. Passages like the scene of the go game show that Murasaki Shikibu was able to describe characters in detail.

In 'Genji monogatari' the descriptions tend not to be free-standing rhetorical exercises, but instead are woven into the narrative. A noteworthy example is the extended comparison of women to flowers in chapter twenty-eight, 'Nowaki' 野分 ('The Typhoon'). Storm damage to Genji's residence Rokujōin 六条院 allows his son Yūgiri 夕霧 to see for the first time Murasaki and other ladies who live there. He mentally compares one to cherry blossoms, another to kerria roses (*yamabuki* 山吹), and a third to wisteria (SNKBZ 22: 265–284; trans. Tyler, pp. 488–495). Direct descriptions like this seldom occur in the narrative portions of the tale (*ji no bun* 地の文) or in characters' thoughts or spoken words.

The scene with Suzaku and Genji concerning Akikonomu is an example of another form of indirectness. As we saw, Genji arranges for her to enter the service of Emperor Reizei even though he knows that Suzaku has feelings for her. When Genji visits Suzaku in order to see his reaction to losing Akikonomu, he makes no reference to what has happened. This reluctance to speak directly about matters on one's mind is sometimes described as a Japanese trait, but it is striking how the narrative makes use of this convention in structuring episodes and in depicting the changes in the characters' feelings. What are we to make of the scene where Genji reaches under the standing curtain to take Murasaki's hand or the passage where he reaches through the hanging curtain and grasps Fujitsubo by her hair? Such vividly described scenes appeal to readers' imagination by tactile rather than visual means. Male characters are able to sense the beauty of women who are unseen, hidden behind the screens. A sense of indirect beauty permeates the artistic world of the 'Tale of Genji.'

In a world of negative elements, where 'not seeing' is the norm and where feelings are often not expressed directly, the tale gives prominence

to key moments when characters see or are seen, or when one character speculates about what another is feeling. These moments are what drive along the plot.

## Notes

1 All block quotes below are from the SNKBZ edition of 'Genji monogatari' and Tyler's translation respectively. All English translations of chapter titles have been cited from Tyler's 'The Tale of Genji' (2001).

2 See the 'General Glossary' in Tyler's 'The Tale of Genji' (pp. 1149, 1151) for definitions of 'standing curtain' ("A trailing curtain on a moveable stand") and 'screen.' See also the illustration below.

3 See long entry under 'lattice shutter' in the 'General Glossary' in Tyler's translation, p. 1144.

4 In addition to the references given in the text and the illustration from 'Genji kokagami' 源氏小鏡, see also Tyler's 'The Tale of Genji,' p. 1024, for the illustration 'Inside the Main House.'

5 See the chronological charts (*toshidate* 年立) in Nakano 1995, p. 42.

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### Abbreviations

SNKBZ Shinpen Nihon koten bungaku zenshū 新編日本古典文学全集

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# From Naming and Seeing to Posthumous Judgments

## How to Read Character in 'The Tale of the Heike'

*Abstract.* Some eight hundred individuals are named in the lengthy medieval Japanese war tale 'The Tale of the Heike' in the version for oral recitation set down in the year 1371. Episodes set before or during battles often include long lists of the combatants on both side, identified by name, title, or place of origin. Scenes of dialogue or action characterize selected individuals with details of their arms and clothing, through their speech or actions, with direct physical description used relatively sparingly. This paper examines the war tale's naming conventions and its use of devices like focalization, showing and telling, and posthumous judgments on characters. Among issues discussed are questions of how listeners and readers gradually build up an understanding of prominent characters, and how what seems inconsistent portrayal of key characters results from the narrative being written and edited by many hands, mixing fact and fiction.

### 1. Introduction

The decades in Japanese history corresponding to the years from the 1150s to the 1180s were a turbulent period of change, riven by factional strife at the imperial court, power struggles between major religious centers, and armed conflict involving two military houses, the Minamoto 源 (or Genji 源氏) and the Taira 平 (Heike 平家). These conflicts are the focus

of the medieval Japanese war tale 'Heike monogatari' 平家物語 ('The Tale of the Heike'), a work that was transmitted in oral and written versions from the early thirteenth century and survives today in many variants, including one for oral performance set down in 1371, the Kakuichi version (Kakuichi-bon 覚一本) that is the focus of this study. In its account of the decisive naval battle of Dan-no-ura 壇浦 in 1185, the 'Tale of the Heike' gives an unflattering description of one of the main characters on the side of the Genji. A leading samurai called Kagekiyo 景清 is ordered to hunt for the enemy leader, Yoshitsune 義経. His commander tells him how to recognize Yoshitsune, whom he calls 'Gen Kurō' 源九郎, literally the ninth son of the Genji.

> 「同じくは大将軍の源九郎にくん給へ。九郎は色白うせいちいさきが、むかばのことにさしいでてしるかんなるぞ。ただし直垂と鎧を常に着かふなれば、きッと見わけがたかんなり」('Heike monogatari,' SNKBZ 46: 373–374)

> "If you are going to fight, then fight with the Commander-in-Chief Gen Kurō. Kurō is fair-skinned and short in stature, with buck teeth, so people say he is easy to recognize. But as he changes his robe and armor all the time, he won't be easy to recognize, they say." (KbHM 11.7 'The Cockfights and the Battle at Dan-no-ura'; M 374, T 605)[1]

With traits like these, he should be to distinguish from other Genji warriors, but he evades recognition by frequently changing his *hitatare* 直垂 robe and armor. Later, the leading Heike commander Noritsune 教経 also goes in search of Yoshitsune. Because he does not know what Yoshitsune looks like (*Hōgan o mishiri-tamawaneba* 判官を見しり給はねば), he goes about looking closely at well-armed warriors (*mononogu no yoki musha* 物の具のよき武者; SNKBZ 46: 387).[2] When he finally sees Yoshitsune, his light and nimble opponent escapes him by jumping a great distance into another boat, a feat that has come to be part of the legend of Yoshitsune, frequently represented in the visual arts from the medieval period through the Edo period (1603–1868) to contemporary Japan, where the scene appears in decorations for Japanese festivals (Watson 2003, pp. 5–13).

Just as physical traits, costume, and weapons are guides for warriors trying to recognize worthy opponents in battle, those of us reading this war tale through words or images learn to watch out for significant markers. In early illustrations of 'Heike monogatari' we can pick out commanders in a crowded scene of battle by looking for the distinctive helmet with hoe-shaped (*kuwagata* 鍬形) 'horns' worn by military leaders. Compare, for example, the scene of the last battle of Yoshitsune's cousin Yoshinaka 義仲 as illustrated in the seventeenth-century hand-painted version of 'Heike monogatari' in Princeton Library with the verbal description of his helmet in the text.[3] For readers of this work—or audiences who for centuries listened to it chanted by blind performers accompanying themselves on the lute (*biwa* 琵琶)—the conventional textual descriptions of arms and armor function both to call attention to characters of importance on the battlefield and to provide a dramatic pause before scenes of intense physical action, like the warrior's victory or defeat in battle.

We should not attempt to read character in 'Heike monogatari' as an artifact of authorial intent. The *Urtext* of 'Heike monogatari,' if one ever existed, cannot be reconstructed. None of the surviving variants of 'Heike monogatari' is the creation of a single author. They are all the product of a variety of oral and written sources concerning both fact and fiction, retold with much freedom and edited by many hands over many decades.[4]

Editorial changes by those who created new variants by partial or wholesale revision may have sharpened or altered the details of the historical as well as invented persons appearing in the text. Some scholars have been tempted to credit Akashi no Kakuichi 明石覚一, the head of a line of *biwa* performers, with a major role in editing the Kakuichi variant, the version best known today (Ruch 1977; Tyler 2012, pp. xx–xxi). This text is extant in manuscripts that contain a colophon stating that Kakuichi dictated an authorized version of the text to a disciple in 1371, but the extent of his role in making major editorial changes or revisions remains unclear.

Rather than investigating the possible examples of 'character portrayal' resulting from editorial changes, this paper will consider the issue of character from the opposite direction, in terms of reader reception. For readers and listeners, 'character' is an illusion built up over the course of an episode, sequence, or longer portion of the narrative. What creates the characters of Yoshitsune or Kiyomori in the imagination of the reader or listener is an amalgamation of many elements: the different ways that they are called, how they appear outwardly, how they act, speak, think and feel; how they are shown to interact with others and what others say or think about them. As these features are very wide-ranging, this paper will focus on four main areas—naming, seeing, showing/telling, and posthumous judgments—with each discussed in turn below.[5]

We look first at naming conventions, "the specific set of naming strategies used to identify and subsequently to refer to [a text's] characters" (Jahn 2017, N7.9).

## 2. Naming

Few works in the canon of Japanese literature refer to as many characters as the Heian courtly tale 'Genji monogatari' and the medieval 'Heike monogatari,' with estimates of around four hundred characters for the former (Nakano 1997, p. 8) and eight hundred for the latter (Nishizawa 2017), although the war tale is less than half the length of the courtly tale. How many characters are 'important' for readers to remember is a much more subjective judgment, but in both cases, it is possible to narrow this number down to a total between fifty characters for 'Genji monogatari' 源氏物語 and around one hundred characters for 'Heike monogatari.'[6] The two comparisons show the war tale to have around twice the number of characters in total as well as twice the number of 'important' characters than the longer courtly work. What is more striking is the difference in the use of names and appellations. The number of characters identified by name is far higher in the case of the war tale. Only one of the main fifty charac-

ters listed by Nakano (1995) from 'Genji monogatari' is known by a personal name, the hero's confidant Koremitsu 惟光. In the glossaries to 'Heike monogatari' cited above and in note 6 as well as in more comprehensive indices in Japanese editions (e.g. SNKBZ 46: 562–574), almost all of the characters included are referred to in the tale by their personal names like Yoshitsune, religious names like Shunkan 俊寛, or posthumous names for emperors like Antoku 安徳, with the main exceptions being some married women like the wife of Koremori 維盛, or women known only by their court names like Kozaishō 小宰相.

Most men and many women mentioned in 'Heike monogatari' are identified by some indication of name, rank, or title, often accompanied by details of their family or place of origin. Dozens of names like this appear in simple list form in episodes preceding major battles or campaigns. Eight of the nearly two-hundred 'sections" (*shōdan*) in the work have titles containing the term *-zoroe* 揃へ (translated 'array' or 'roster').[7] In the most detailed Western-language study of names in Japanese war tales, such lists are compared with the 'catalogues' of Greek states, leaders, and ships in Homer's 'Iliad' (Brisset 1999, pp. 123–130). In such lists, it is easy to miss the initial unobtrusive mentions of figures like Musashino Benkei 武蔵野弁慶 or Kagekiyo, warriors who will later play a significant role in the conflict as well as looming large in the subsequent textual and extratextual reception of the stories of the Genpei wars (*Genpei sōran* 源平争乱).

Kagekiyo, mentioned at the outset, is an interesting case in point. The longest reference to him is as *Kazusa no Akushichibyōe Kagekiyo* 上総の悪七兵衛景清 (SNKBZ 46: 362), which identifies his place of origin in Kazusa 上総, in an area east of modern Tokyo.[8] Akushichibyōe is an alternative name often used in direct speech, in conversations between warriors. The preface *aku* 悪 uses a glyph that normally means 'bad' or 'evil' but here provides a hint about his fierce character, as we see in expressions like *akusō* 悪僧 ('fierce monks') or other names like Akugenda Yoshihira

悪源太義平, an important figure of the previous Genji generation who is twice remembered in the text.[9] As one of the Samurai Commanders (*samurai taishō* 侍大将), Kagekiyo is mentioned last in two lists, though it could be argued that this position has the reverse effect of quietly calling attention to his name.[10] He is then mentioned in passing as a participant in several battles, without further details of his speech or actions. Only towards the end of the narrative does Kagekiyo finally live up to his 'fierce' name and become a memorable character in his own right. This happens through two speeches, both reminiscent of the flyting of medieval Scottish-English wars. In the first, he challenges the enemy warriors to attack him with a *nanori* 名乗り ('self-naming'), a speech naming himself,[11] while in the second, he addresses other Heike warriors with the hope of shaming them into attacking the Genji.[12]

Readers thus build up their impression of the warrior Kagekiyo over a large span of the narrative, from the first Genji-Heike clash in Book Four to last incidents of fighting at the end of the Book Twelve, the last of the numbered books of the Kakuichi variant. Whereas the tale records in detail the deaths of many higher-ranking warriors, Kagekiyo fades from the text in an inconspicuous way, mentioned as one of the four named Heike warriors continuing resistance after Dan-no-ura.[13]

In other textual traditions and in the performing arts, what happened to Kagekiyo later was the subject of much invention. The Noh play 'Kagekiyo' imagines him as a blind beggar in exile, whose daughter has come in search of him. The play ends with his powerful re-enactment of a famous episode from the battle of Yashima (SNKBZ 59: 312–325; translation in Nippon Gakujutsu Shinkōkai 1959, pp. 137–139).

Readers of 'Heike monogatari' whether in the original or translation must learn to recognize that the same character can be named in more than one way. We have seen this with Kagekiyo and with Yoshitsune, referred to in our first quotation as *Taishōgun* 大将軍 ('Commander-in-Chief') *Gen Kurō* 源九郎 ('Genji Ninth Son'), then simply as *Kurō* 九郎. In

another example, he is called *Hōgan* 判官, the court rank of 'Police Lieutenant' that becomes one of his most frequent appellations in the text.

Some variations in nomenclature may be of significance, showing greater or lesser respect for the character. Over the course of the first half of the work, the major character is the Heike tyrant, Kiyomori 清盛. Plain *Kiyomori* appears very rarely, mainly in narrative passages, in references in speech to him as a young man, or in utterances by other characters, sometimes with intent to insult.[14] More commonly he is called by other names and appellations. Kiyomori's derogative nickname as an adolescent was 'Giant Heida' (*Taka Heida* 高平太; SNKBZ 45: 113), as the rebel Saikō 西光 reminds him to his fury.[15] His religious name Jōkai 浄海 is sometimes used by Kiyomori in referring to himself, as in his threatening letter to Giō 祇王,[16] but when used by others it is insulting, as in the letter from the Miidera 三井寺 monks attacking him.[17] *Nyūdō shōkoku* 入道相国 ('the Novice-Chancellor') is his most common appellation in the work, with *shōkoku* ('Chancellor') being the highest rank he obtains before 'entering the way' (*nyūdō*) and taking religious orders.[18] Finally, the respectful term *Kiyomori kō* 清盛公 ('Lord Kiyomori') is used from early accounts of his career[19] to the posthumous episodes in praise of him.[20]

Historians of medieval Japan have reminded us of how common it was for older historical sources to use a number of different names or titles for the same person (Mass 1992, pp. 91–127). A variety of appellations used for the same character is also typical of other Japanese narratives. Translators of 'Genji monogatari' have been faced with the problem of how to refer to characters like Genji's friend Tō-no-Chūjō 頭中将, the 'Secretary Captain,' whom the Japanese original refers to in different ways as he rises in rank.

When possible, English translators of 'Heike monogatari' have tried to reflect some of the variety in appellations of characters. Sometimes, however, the desire for readability outweighs other considerations, and they have chosen to simplify longer titles or substitute more familiar names

than those used in a specific passage. The original should always be consulted when tracing subtle changes in character reference.

"Since naming patterns often dovetail with characterization, point of view or focalization, they merit close stylistic analysis" (Jahn 2017, N7.9). Our discussion of 'naming' is an attempt to prove the value and viability of such an approach in the study of this premodern narrative. We now turn to passages involving 'seeing' and focalization.

## 3. Seeing

Another important way that readers and listeners form their idea of characters in this narrative are via descriptions like the one we opened with, a passage of direct speech in which a Heike commander explains how to recognize Yoshitsune: fair-skinned, short, with buck teeth. The last two details are unflattering. Yoshitsune's small stature was already hinted at in an earlier battle scene in which he risks his life to retrieve his lost bow so that the enemy do not recover the lightly strung bow and realize that he is not strong.[21] Fair skin is mentioned in the tale as a beautiful feature in women, but a sign of high rank in men. After their victory, Genji warriors hunt for male children with pale skin and fine features (*iro shirō mime yoki* 色白う見めよき; SNKBZ 46: 460), putting them to death on the assumption that they are children of the Heike in hiding.[22]

Descriptions of people's physical appearance are relatively uncommon in 'Heike monogatari,' making those that exist more noteworthy. There are many more examples mentioning powerful horses than strong or well-build men. Both horses in the famous race to be first across the Uji River are described with the same conventional expression, *kiwamete futō takemashiki* きはめてふとうたけましき, "very stout and brawny" (SNKBZ 46: 164; trans. McCullough, p. 287).[23] A character called Muneyasu 宗康 is described as being 'very fat' (*amari ni futotte* あまりにふとッて; SNKBZ 45: 137), but this point is not mentioned as a memorable detail in portray-

ing him, but rather to explain factually why his father Kaneyasu 兼康 is fatally held up in their escape from their pursuers.[24]

Before we examine cases of focalized description, we should look at one more example of description in the narrative text (*ji no bun* 地の文). The example of Kikuō 菊王, a young man killed in the battle of Yashima 八島, is revealing in how it combines a direct description of physical abilities with a conventional mention of costume (armor, helmet) and weaponry (halberd), ending with a burst of action (charge into the enemy ranks) and death. The passage on Kikuō begins by identifying his master Noritsune and continues with his name and a phrase describing his great strength and bravery (*Kikuō to iu daijikara no kō no mono* 菊王といふ大力の剛のもの; SNKBZ 46: 354).[25] Kikuō is killed by an arrow released at close quarters that penetrates right through his body, a fairly graphic description for a work that famously lacks much of the sanguinary detail of deaths in the *Iliad* or medieval European romance and epic (Selinger 2019).

Our last example comes from the sequence of three long sections that end Book Twelve relating how Rokudai 六代—Koremori's son, Kiyomori's great-grandson, and the last direct heir of the Heike family—survives from his twelfth year to his thirtieth. He is discovered in hiding, pardoned on the point of execution through the intercession of the monk Mongaku 文覚, who is moved to ask for a pardon by the boy's beauty. There are two key scenes of focalized description. The first comes after an informer reveals where Koremori's wife and two children are hiding. A retainer of Hōjō Tokimasa 北条時政 looks through "a crack in the fence" (*magaki no hima* 籬のひま) and sees a "handsome boy" (*utsukushige naru wakagimi* うつくしげなる若君) run out of a building in pursuit of a white puppy (SNKBZ 46: 461; trans. Tyler, p. 664).[26] The scene recalls the *kaimami* 垣間見 scenes of classical 'invented tales' (*tsukuri monogatari* 作り物語), such as the episode when Hikaru Genji 光源氏 first sees the young Murasaki 紫, while the unexpected results of a person exposed to view after a

pet escapes recalls the episode involving the Third Princess (Onna Sannomiya 女三宮), her cat, and Kashiwagi 柏木 ('Genji monogatari' ch. 5, 'Wakamurasaki' 若紫; ch. 35, 'Wakana jō' 若菜上; trans. Tyler, pp. 86, 620). The romantic consequences are absent in the case of Rokudai, of course, but the beauty of the young boy helps to save his life for a time. Even the puppy makes another appearance when Rokudai returns home safely.

The second, much more detailed description of Rokudai through another's perspective comes after Mongaku is asked to intercede to help Rokudai. Hearing from Tokimasa that the boy is 'extremely beautiful' (*nanome narazu utsukushū* なのめならずうつくしう), Mongaku asks to see him. Rokudai is closely described through Mongaku's eyes: his robe, prayer-beads, hair, figure (*sugata* すがた), and manner (*kotogara* 事がら). Even the marks of fatigue on his face from lack of sleep are said to add to a beauty not of this world (SNKBZ 46: 468–469).[27]

Narrating while 'seeing' a character from another character's perspective is one of a number of techniques used to intensify readers' emotional responses to the story of Rokudai. Narrating from the perspective of a character who does not directly 'see' the character in question is another: the narrative follows characters like the mother and nurse who are impatiently waiting for news, uncertain of what will happen, while important events are occurring elsewhere. Suspense and delayed explanation are two more: we hear only after Mongaku arrives at the execution site in the nick of time how he obtained a pardon.

In many instances, characters in 'Heike monogatari' are presented to us with a mixture of two techniques well known to classical narratology: 'showing' and 'telling' (Jahn 2017, N5.3.1).

## 4. Showing and Telling

From a philosophical point of view, it can be argued that the characters in a narrative are no more than a verbal construct, an illusion created in our

minds as we read or listen to the story (Jannidis 2013). Each time we come across a new detail relating to a character, we add it to the store of information we already have, building up a cumulative picture of the individual, much as we do for living people known only through what we have read or heard about them. In real life we are accustomed to there being many blanks in our information about someone known only indirectly. In others' anecdotes of friends and relatives, for example, we may have learnt something of their character traits but have little idea of their outward appearance. Alternatively, we may know what such people look like from photographs but know very little about their personality. This tolerance for gaps in our knowledge is easily transferred to characters heard or read about in tales.

In the case of an actual historical figure like Kiyomori, it is of course possible to refer to accounts external to 'Heike monogatari' such as the writings of contemporary court diarists or modern historians. Here we will restrict ourselves to what the narrative itself reveals, leaving aside all questions of fact or fiction.[28]

The audience of 'Heike monogatari' learns quickly that the tyrant Kiyomori is prone to sudden changes of mood; we build up the image of an irascible and willful tyrant. The extremes of emotion are well illustrated by the 'Giō' section (KbHM 1.6). His sudden bursts of anger are mentioned in many other passages.[29]

The fact that the narrative gives us only the vaguest idea of his physical appearance seems less important—unless we approach the tale with novelistic expectations fostered by writers like Walter Scott or Charles Dickens. When there is physical description of Kiyomori or other characters, what tends to be described is not their outward appearance (stature, countenance) so much as movements or gestures that reveal their inner feelings at that moment.

In the case of Kiyomori, one memorable example early in the tale is the account in Book Two of his unsuccessful attempt to hide from his son

Shigemori 重盛 the fact that he is attired for battle against the Retired Emperor. Kiyomori's headquarters at Nishihachijō 西八条 is on military alert, and bustling with armed men, but the virtuous Shigemori signals his disapproval of the intended attack on Retired Emperor Go-Shirakawa (Goshirakawa-in 後白河院) by arriving in civil costume of *eboshi* 烏帽子 (court hat), *nōshi* 直衣 (court dress), and *sashinuki* 指貫 (gathered trousers).[30] The narrator tentatively suggests two things that Kiyomori 'may or must have thought,' the first in the form of a direct quotation of Kiyomori's internal speech, the second in the form of speculation about why Kiyomori chooses to withdraw and put a robe over his metal corselet (*haramaki* 腹巻). The direct quotation of thoughts is prefaced by a telling physical description, Kiyomori looking down. The passage is long, but contains many telling details:

> 入道ふし目になッて、「あはれ例の内府が、世をへうする様にふるまふ。大きに諫めばや」とこそ思はれけめども、さすが子ながらも、内には五戒をたもッて慈悲を先とし、外には五常を乱らず礼義をただしうし給ふ人なれば、あのすがたに、腹巻を着て向はむ事、おもばゆう恥づかしうや思はれけむ、障子をすこし引きたてて、素絹の衣を、腹巻の上に、あわて着に着給ひたりけるが、胸板の金物のすこしはづれて見えけるを、かくさうど、頻りに衣の胸を引きちがへ引きちがへぞし給ひける。(SNKBZ 45: 133–134)

> The Novice lowered his eyes (*fushime ni natte*). "Ah, the Palace Minister is behaving with his usual contempt for the world. I would so like to give him a thorough telling-off," he may have thought, but (*omowarekemedomo*) even though [Shigemori] was his own child (*ko nagara mo*), he was someone who put compassion first, keeping the Five Commandments of Buddhism, and was very proper in his behavior, not offending against the Five Constant Virtues of Confucianism, so that Kiyomori must have thought (*omowarekemu*) it would be shameful to meet him wearing a corselet when Shigemori was in [civil] attire. Thus, he partially closed the sliding door, and hurriedly (*awategi ni*) put on plain silk robe over his armor. But the metal of his breast plate could be seen a little, even though he pulled on the robe's labels hard (*shikiri ni*), again and again, in an effort to hide it.[31]

It is presumably out of shame that Kiyomori averts his eyes from Shigemori (SNKBT 44: 95, note 30). He finds himself unable to admonish his

own son. In the narrator's 'reconstruction' of how Kiyomori reacts, what holds him back most is his son's virtuous behavior. The speculative (*suiryō* 推量) form of the verbs of thinking, *omowarekemedomo* 思はれけめども and *omowarekemu* 思はれけむ, is the usual narrative device to report on what may have been going through a character's mind. Grounds for this supposition are provided by two external descriptions of Kiyomori: the mention of his lowered eyes, and the account of actions that immediately follows. He 'partially' closes the sliding door and 'hurriedly' puts a plain silk robe (*soken* 素絹) over his armor (*haramaki*), trying 'again and again' to pull up the lapels of the robe to hide the metal plates. The doubling of the verbs *hiki-chigae hiki-chigae* 引きちがへ引きちがへ, translated as "adjusted and readjusted" (trans. McCullough, p. 74) and "tugged [...] every which way" (trans. Tyler, p. 92), represents his repeated attempts to adjust his robe. What makes the description here effective is its use of the expressions *sukoshi* すこし, *awategi ni* あわて着に, and *shikiri ni* 頻りに, ('partially,' 'hurriedly,' 'hard'). The description of Kiyomori's hasty attempts to hide his armor serves to reveal to readers what his feelings might be at this juncture, his desire to avoid the embarrassment of appearing before his son in martial garb.

The unexpected is another aspect of character that we learn to accept in real life, both in people we are acquainted with and those we hear about (in others' anecdotes of friends and relatives, in reports of public figures). Indeed, there is often a pleasure in learning that someone's personality is more complicated than we had hitherto been led to believe. These attitudes are transferred to our encounters with narratives. While we generally count on there being basic consistency or coherence in a character's behavior as described in the narrative, at the same time we may also look forward to revelations of yet unseen or unimagined facets of personality. Before this example in Book Two, we have seen Kiyomori act in a high-handed way on numerous occasions, little concerned about what others think or feel. An early example is his apparent insensitivity to the feelings

of his mistress Giō when she is recalled and forced to dance before him. The narrative comments on how he was quite unaware of her feelings (*Giō ga kokoro no uchi o ba shiri-tamawazu* 祇王が心のうちをば知り給はず; SNKBZ 45: 43).[32] Now we must partially revise this assessment on the basis of what we see in the encounter with Shigemori. The text depicts him as wanting very much to scold Shigemori (*ōki ni isamebaya* 大きに諫めばや; SNKBZ 45: 133) but unable to do so because his son is a paragon of virtue.[33]

This is by no means the last time that Kiyomori acts unexpectedly, or rather in a way that we are told is unexpected. In the opening of Book Three, when his daughter is nearing the time when she will give birth to a child by Emperor Takakura 高倉, her condition is made worse by spirits, revealed by a medium to be the spirits of living and dead rebels.[34] Kiyomori gives posthumous pardon to two imperial rebels, but Shigemori suggests to him that an amnesty should also be granted to Naritsune 成経, one of the three Shishi-no-tani 鹿谷 conspirators exiled to the remote island of Kikai-ga-shima 鬼界が島. When Kiyomori asks what is to be done about the remaining two exiles, our attention is directed to his manner of speaking, quite unlike his usual hectoring tone:

> [...] 入道相国日ごろにも似ず、事の外にやはらいで、「さてさて俊寛と康頼法師が事はいかに」。(SNKBZ 45: 188)
>
> The Novice-Chancellor asked in a surprisingly mild manner (*koto no hoka ni yawaraide*) quite unlike his usual self (*higoro ni mo nizu*), "Well then, what is to be done about Shunkan and the monk Yasuyori?"[35]

When Shigemori suggests pardoning both men, however, Kiyomori categorically refuses to consider an amnesty for Shunkan. His apparent softening in this passage is effective, for it opens up the possibility of pardon for the third exile only to close it decisively. This calls attention to the special fate singled out for Shunkan, the focus of a sequence of episodes in Book Four. There is just one other occasion on which Kiyomori is de-

scribed as being moved to an act of mercy: his pardoning of Nobutsura 信連, who had acted bravely to win time for his master to escape.[36]

Kiyomori had earlier been shown to be sympathetic to the plight of Yasuyori 康頼. When a wooden grave marker or stupa (Jp. *sotoba* 卒都婆) inscribed with Yasuyori's poems and message is brought to the capital, Kiyomori shows pity because (as the narrator comments) even he is not without feeling, 'as even the Novice was not stone or wood' (*Nyūdō mo iwaki naraneba* 入道も石木ならねば; SNKBZ 45: 178).[37] The opening of the last section in Book Two relates how this uncharacteristic show of pity (*awaremi* あはれみ; SNKBZ 45: 179) by Kiyomori encourages others in the capital to recite Yasuyori's poem.[38]

In a passage from Book Six, it is suggested that Kiyomori comes to feel that he went too far in his treatment of Retired Emperor Go-Shirakawa. Rather than a direct statement of his thoughts, the suggestion is made tentatively, as conjecture rather than direct statement. The key phrase is *osoroshi to ya omowareken* おそろしとや思はれけん, which could be translated more literally as 'must have thought [it was] frightening':

> 入道相国、かやうにいたくなさけなうふるまひおかれし事を、さすがおそろしとや思はれけん、[...] (SNKBZ 45: 441)
>
> In the end, the Novice-Chancellor may have thought it was a fearful thing (*osoroshi to ya omowareken*) to have behaved with such great cruelty.[39]

This refers to Kiyomori's cruel treatment of Go-Shirakawa and also, possibly, to his conduct toward Go-Shirakawa's son (and his own son-in-law), Takakura. Kiyomori makes amends by presenting Go-Shirakawa with one of his own daughters, born to an attendant of the Itsukushima Shrine (Itsukushima Jinja 厳島神社). This incident is related in Book Six, after the narrator reminds us of some of Kiyomori's many 'evil deeds' (*akugyō* 悪行), which included the destruction of a major temple in Nara 奈良, the move of the capital to Fukuhara 福原, and actions that hastened the death of his son-in-law, Emperor Takakura.His mistrust of Go-Shirakawa is one of the chief themes of Book One. Books Three to Five describe how Ki-

yomori acts against both Retired Emperor Go-Shirakawa and his son Emperor Takakura. In 1179, Go-Shirakawa is removed from the capital and kept in an isolated 'palace' in Toba 鳥羽, causing Takakura much anguish.[40] In 1180, Go-Shirakawa is taken to the new capital of Fukuhara and confined in still worse conditions.[41] Takakura is also taken to Fukuhara, where his health continues to suffer.[42] It is as a result of actions like these, the Kakuichi version claims, that Kiyomori contributed to the early death of Retired Emperor Takakura in 1181.[43]

The examples we have looked at so far have been a mixture of narration (*ji no bun*) concerning Kiyomori, such as narratorial description of his manner of speech and his actions, and direct discourse by him. Character traits can be directly communicated by the narrator, or the person in question can be made to reveal them indirectly by speech or action. There is a third possibility, however, and that is presentation through the comments or perception of a third party. Kiyomori's propensity to lose his temper is commented on by numerous other characters: by Shigemori in prayer at Kumano 熊野,[44] by anonymous witnesses of his angry attack on the high-ranking monk, Dharma Seal Jōken (Jōken Hōin 静憲法印),[45] and finally, in the reaction of all ranks of society in the capital:

> 入道相国の心に天魔入りかはッて、腹をすゑかね給へりと聞えしかば、又天下いかなる事か出でこんずらんとて、京中上下おそれをののく。(SNKBZ 45: 251)
>
> "A devil has taken possession of Kiyomori's mind (*kokoro ni tenma irikawatte*). He is unable to control his anger (*hara o sue-kanetamaeri*)," it was rumoured (*to kikoeshikaba*). "Who knows what might happen now?" High and low in the capital trembled in fright.[46]

To conclude this section, let us look at another rhetorical device available to storytellers when describing a character's personality: the use of figurative language to suggest to the audience the kind of behavior most typical of a person.

In two widely separated passages Kiyomori is described by the same metaphorical expression for someone who imposes his will on others: *yokogami o yaru* よこ紙を破る, literally meaning 'to rip paper in half horizontally,' which was harder than ripping it vertically. The first instance of the expression is in Book Three in an account of general grief over the death of Kiyomori's son Shigemori, with 'high and low' people functioning here as elsewhere as what has been called a 'chorus character' (Jahn 2017, N7.8):

> 御年四十三。世はさかりとみえつるに、哀れなりし事共なり。入道相国の、さしもよこ紙をやられつるも、此人のなほしなだめられつればこそ、世もおだしかりつれ、此後天下にいかなる事か出でこんずらむとて、京中の上下歎きあへり。(SNKBZ 45: 231)

> It was a great pity that [Shigemori should die] in his forty-third year when in the prime of his life. No matter how much the Novice-Chancellor acted the tyrant (*Nyūdō shōkoku no sashimo yokogami o yararetsuru mo*), Shigemori would always amend and moderate matters so that the world remained unscathed. What kind of things will happen now in the country? In this way, high and low in the capital lamented to each other.[47]

The expression's literal meaning refers to tearing Japanese paper sideways, against the grain, as in the earliest English translation from 1918: "Though the Lay-priest Chancellor would try to tear paper across the grain" (trans. Sadler, p. 142). The French translation also retains the image: "quand bien même la Religieux Ministre agissait à tort et à traver" (trans. Sieffert, pp. 144–145).

The second instance is when Kiyomori finally gives in to universal criticism of the transfer of the capital to Fukuhara, and announces a return to the old capital:

> 今度の都遷をば、君も臣も御歎あり。山、奈良をはじめて、諸寺諸社にいたるまで、しかるべからざるよし一同にうッたへ申すあひだ、さしもよこ紙をやらるる太政入道も、さらば都がへりあるべしとて、京中ひしめきあへり。(SNKBZ 45: 409)

> Both sovereign and subjects lamented the present transfer of the capital. Mount Hiei [Enryakuji], Nara [Kōfukuji], and the other temples and shrines were unanimous in condemning the transfer and made a formal appeal against it. The Novice-Chancellor—who had forced his own way in so much (*sashimo yokogami o yararuru*)—finally said, "In that case, we will return to the capital," and there was great tumult throughout the city.[48]

Ichiko Teiji paraphrases the phrase in question by terms meaning to act tyrannically ("ōbō na koto o nasatte 横暴な事をなさって"; SNKBZ 45: 232 [modern translation]) or to be selfish ("waga mama katte na わがまま勝手な"; SNKBZ 45: 409, note 22).

These two passages are examples of contemporary judgments. A striking feature of 'Heike monogatari' is its use of posthumous judgments, discussed next.

## 5. Posthumous Judgments

As this essay has argued, readers' or listeners' understanding of character is progressive and dynamic. We revise our idea of a given character as new information is provided to us. A striking feature of character presentation in the Kakuichi 'Heike monogatari' is the way that the narrative frequently gives its most comprehensive treatment of an individual only *after* recording that person's death.

Stories told after a character's death tend to dwell on the good side of the deceased, so that in the case of positively depicted characters, the stories will either bear out the fine traits that have already been shown, or complement the picture with the record of other virtues. The hagiographic episodes after Shigemori's death (KbHM 3.12) illustrate his piety, adding the final touches to the image already given of the deceased over the course of numerous episodes like 'The Lanterns' (KbHM 3.13) or 'Gold to China' (3.14). Even when a character has hitherto been depicted as less than ideal, the anecdotes may dwell on praiseworthy deeds.

This kind of laudatory posthumous account is also found in one of the shorter war tales that preceded 'Heike monogatari,' 'Heiji monogatari' 平

治物語, giving an account of a failed *coup d'état* in the year 1159. The Kotohira 金刀 variant of 'Heiji monogatari' inserts two incidents in the life of Shinzei 信西 (Fujiwara no Michinori 藤原通憲, 1106–1160) that illustrate his great learning, in striking contrast with the preceding account of his miserable death. These are the sections titled 'The visit of the Tang monk to Japan' ('Tōsō raichō no koto' 唐僧来朝事) and 'The Tale of Mount Hiei' ('Hieizan monogatari no koto' 比叡山物語事) (NKBT 31: 202–206).[49]

Kiyomori's death is accompanied by premonitions that he will suffer the torments of hell, and his dying wish is for revenge on his enemy, not Buddhist services for his soul. His final sufferings were terrible and yet, the narrator remarks, 'there were many things to show that he was truly no ordinary man' (*makoto ni wa tadabito to mo oboenu kotodomo ōkarikeri* まことにはただ人ともおぼえぬ事どもおほかりけり; SNKBZ 45: 454).[50]

The narrative goes on to recount several unrelated incidents that put Kiyomori in a more positive light: his construction of an island to protect shipping and his sponsorship of a temple where readings of the Lotus Sutra are held. Many later prose and performance pieces were based on this episode about the island, variously called a 'man-made island' (Tsukishima 築島) or 'sutra island' (Kyō no Shima 経島), including a *kōwakamai* 幸若舞 or 'ballad dance' (Arnn 1984, pp. 84–122).

One posthumous episode after Kiyomori's death assures us that he is the reincarnation of a holy man (KbHM 6.9 'Jishinbō'), another that his true father was an emperor, and not Taira no Tadamori 平忠盛 as we had been previously told (6.10 'The Gion Consort'). The idea that Kiyomori was Emperor Shirakawa's 白河 child was long thought to have some basis in fact, but after a careful examination of the evidence, Akamatsu Toshihide (1980) has concluded that the supposed documentary evidence is not to be trusted. In a much-read introduction to the 'Tale of the Heike' from the 1950s, the three posthumous episodes were dismissed as 'additions' (*zōho* 増補) which are 'interesting as *setsuwa* 説話 but of little value in

terms of literature' (Ishimoda 1957, 80–81), but present-day scholarship values the short anecdotal tales known as *setsuwa* much more highly, regarding them as central to premodern prose literature in Japan. Whatever their historical veracity, such tales are also of great value for the study of narratology.

In the case of the veteran Genji warrior Minamoto no Yorimasa 源頼政, we also find the account of a shocking or pathetic death followed by recollections of memorable deeds in earlier days. Yorimasa takes his own life when the uprising in the name of Prince Mochihito (Mochihito-ō 以仁王) ends in failure at the battle of Uji 宇治 (1180.5.12). The narrative steps momentarily aside from the aftermath of the battle to recall incidents decades earlier in Yorimasa's life. Only after recounting the exploits that had won his imperial praise does the tale return to the narrative present, with a final comment regretting Yorimasa's participation in a 'worthless rebellion' (*yoshinaki muhon* よしなき謀叛; SNKBZ 45: 340) that led to the death of Prince Mochihito and his own destruction.[51] The same formulaic phrase *yoshinaki muhon* appeared earlier both as narratorial comment and character text (direct speech) in condemnation of Shishi-no-tani conspirators like Shunkan (SNKBZ 45: 73, 163, 191).[52] The repetition of phrase links Yorimasa's revolt with the earlier failed conspiracy, passing a severe moral judgment on both.

While there are no independent sections dealing with women after their death, there are examples of short posthumous notices, such as the account of Kozaishō's background and the story of how she was wooed by Michimori 通盛. These follow the account of her suicide in reaction to his death in battle. The flashback is introduced by a phrase often used to give biographical information that in other forms of narrative might come at the outset of a story, but here signals a kind of footnote: 'And speaking of this lady [...]' (*Kono nyōbō to mōsu wa* 此女房と申すは; SNKBZ 46: 251).[53]

Sometimes one has the feeling that the death of a character provided a convenient place to fit in stories that would not go anywhere else, but which the writers or editors thought too good to waste. The two 'nightbird' (*nue* 鵺) anecdotes about Yorimasa are perhaps a case in point (KbHM 4.15 'The Nightbird'). The material—and its gaps—also inspired later inventions, such as the Noh plays 'Nue' 鵺 and 'Yorimasa' 頼政, both still in the performance repertoire today.[54]

## 6. Conclusion: The Illusion of Character

Japanese discussions of the depiction of individual characters in 'Heike monogatari' use terms combining the personal name of a character with the suffix *-zō* 像 for 'image, figure': *Kiyomori-zō* 清盛像 ('the image of Kiyomori'), for instance. A related expression is *jinbutsuzō* 人物像 which means 'character portrait' or simply 'character' in the sense of the overall image presented of one of the *dramatis personae*. A search of the CiNii database of Japanese academic journals shows that these terms, like those mentioned below, continue to be frequently used in titles of studies of 'Heike monogatari.'

To indicate multiple portraits or characterizations, plural, a term sometimes seen is *jinbutsu gunzō*, as in 'Henkakki no jinbutsu gunzō' 変革期の人物群像, 'Portraits of Individuals in a Period of Upheaval,' the subtitle of a popular introduction to 'Heike monogatari' (Tomikura 1972). The term *gunzō* originally meant a group of sculptures like the Laocöon. For the artistic 'creation' of such an image, the terms most frequently used are *zōkei* 造形 ('molding, modeling') and the derived verb *zōkei suru* 造形する (Inaba 1984). Another term is *keishō* 形象 meaning 'shaping, figuration.' Like terms ending in *-zō* 像, these expressions are metaphors from the plastic arts, whereas English has traditionally used words from drawing or painting ('sketch,' 'portrait') or the theatre ('person,' French *personnage*).

The psychological nuance inherent in English 'character' is absent in Japanese terms, and just as well, perhaps, considering the confusion occa-

sioned by the application of psychology, whether of the armchair or the Freudian kind, to the study of the human actors in narrative. In this paper we have tried to avoid analysis of character psychology, or for that matter of 'author psychology,' an idea even less suited to 'Heike monogatari.' If psychology can play any role in the discussions of character in a premodern work like this, it can contribute most usefully in reader psychology, in explaining how readers built up their mental image of a character.

We have looked at how the characters in 'Heike monogatari' are presented to us, the audience. The passive voice in 'presented to us' may seem to evade the issue of deciding who or what is responsible for 'presenting' (or 'molding') the image we have of the characters. Attempts to identify 'authorial intent' are no longer in fashion, however, and for sound reasons in the case of premodern literature. When even the identity of the author is in question, and there is little or no external evidence about why and how a work came to be written, then we are left with only internal evidence from the work itself.

Character presentation is ultimately an illusion created by the text. We as readers are not passive victims of the sleight of hand, but rather active collaborators in the magical performance, doing everything we can to keep up our belief in the shadow figures before us.

This paper began by considering what is conventionally meant by the 'portrayal' of a character, one that implies a relationship between an artist and the public eagerly waiting for the work of art to be unveiled when it is finally completed. We have argued instead that the figures of Kiyomori and other characters are only completed in the mind of the reader or listener. As a theorist in Homeric studies has argued, attempts at reconstructing intentionality will "simply shift the problem of interpretation to a different (often more inaccessible) level," and thus we should affirm instead "the large part played by the reader in the production of meaning" (Peradotto 1997, p. 382).

## Notes

1 Unless otherwise indicated, translations from 'Heike monogatari' are mine, but section titles are cited from the translation by Tyler (2012), preceded by book and section numbers of the Kakuichi-bon 覚一本 variant 'Heike monogatari' (KbHM). Cross references are given to the translations by McCullough (1988) and Tyler (2012), abbreviated M and T.

2 KbHM 11.10 'The Death of Noritsune'; cf. M 380, T 615.

3 See vol. 4, illustration 19.6 with Yoshinaka shown at the top right. For an introduction to this manuscript, which is available online, see Collcutt 1991. Cf. KbHM 9.4 'The Death of Kiso'; SNKBZ 46: 177, M 291, T 465.

4 See entries in Ōtsu [et al.] 2010 for a good overview of questions of authorship, origins, and evolution. For English-language discussion, see Bialock 1999; Watson 2003, pp. 2–9; Oyler 2006; Bialock 2007; Franks 2009, pp. 20–29; Selinger 2013, pp. 20–23. The frequently cited article by Butler (1966) no longer represents current scholarly consensus.

5 Some portions of this paper are revised from Chapter 5 'Character Presentation' in my unpublished DPhil thesis (Watson 2003).

6 Figures calculated from Nakano 1995, pp. 64–75 ('Shuyō tōjō jinbutsu kaisetsu' 主要登場人物解説) and SNKBT 45: 1–18 ('Shuyō jinbutsu ichiran' 主要人物一覧), glossed lists of important characters for 'Genji monogatari' and 'Heike monogatari' respectively. The 'Glossary of Characters' contributed by the present writer to the partial translation by Burton Watson edited by Haruo Shirane (2006, pp. 171–194) contains 105 characters, including about fifty in detail. Forty characters are listed in the translation by McCullough (1988, pp. 17–19 ['Principal Characters']).

7 Examples include sections KbHM 4.3, 5.5, 7.2, 7.19, 9.2, 9.7, 10.14, and 11.11.

8 KbHM 11.5 'The Dropped Bow'; M 369, T 598.

9 KbHM 6.5 'The Circular Letter'; SNKBZ 45: 442, M 207, T 322; KbHM 10.10 'Koremori Renounces the World'; SNKBZ 46: 304, M 245; T 566.

10 KbHM 4.11 'The Battle on the Bridge'; SNKBZ 45: 315, M 152, T 227; KbHM 7.2 'The Northern Campaign'; SNKBZ 46: 21, M 225, T 352.

11 KbHM 11.5 'The Dropped Bow'; SNKBZ 46: 362, M 369, T 598. Examples of *nanori* are discussed by Brisset 1999, pp. 130–136.

12 KbHM 11.7 'The Cockfights and the Battle at Dan-no-ura'; SNKBZ 46: 373, M 373, T 605.

13 KbHM 12.9 'The Execution of Rokudai'; SNKBZ 46: 487, M 420, T 679.

14 KbHM 7.5 'A Prayer to Hachiman'; SNKBZ 46: 31, M 229, T 361.

15 KbHM 2.3 'The Execution of Saikō'; M 66, T 78.
16 KbHM 1.6 'Giō'; SNKBZ 45: 40, M 33, T 40.
17 KbHM 4.7 'The Appeal to Mount Hiei'; SNKBZ 45: 301, M 146, T 217.
18 KbHM 1.4 'The Rokuhara Boys'; SNKBZ 45: 29, M 28, T 12.
19 KbHM 1.3 'The Sea Bass'; SNKBZ 45: 28, M 27, T 10.
20 KbHM 6.9 'Jishinbō'; SNKBZ 45: 455, M 213, T 332.
21 KbHM 11.5 'The Dropped Bow'; SNKBZ 46: 363–364, M 370, T 599.
22 KbHM 12.7 'Rokudai'; M 409, T 664.
23 KmHM 9.2 'First Across the Uji River'; M 287, T 164.
24 KbHM 8.8 'The Death of Senō'; M 273, T 436.
25 KbHM 11.3 'The Death of Tsuginobu'; M 365, T 592 ("Noritsune's outstandingly strong and brave page").
26 KbHM 12.7 'Rokudai'; M 410, T 664 (quoted). For an Edo-period representation, see the Princeton illustrated 'Heike monogatari' (online), vol. 6, illustration 29.3.
27 KbHM 12.7 'Rokudai'; M 412, T 668–669.
28 For a discussion of factuality in premodern Japanese literature, see Watson 2020.
29 Examples include KbHM 1.11 'The Collision with the Regent'; SNKBZ 45: 63, M 43, T 37; KbHM 2.3 'The Execution of Saikō'; SNKBZ 45: 114, M 66, T 79; KbHM 3.15 'The Confrontation with Jōken'; SNKBZ 45: 244, M 122, T 175; KbHM 5.4 'The Courier'; SNKBZ 45: 366, M 174, T 265.
30 KbHM 2.6 'The Remonstrance'; SKNBZ 45: 133, M 73, T 92.
31 KbHM 2.6 'The Remonstrance'; M 74, T 92.
32 KbHM 1.6 'Giō'; M 34, T 21.
33 KbHM 2.6 'The Remonstrance'; M 74, T 92.
34 KbHM 3.1 'The Pardon'; SNKBZ 45: 187, M 97, T 132. Kiyomori's daughter is Emperor Takakura's consort Tokuko 徳子, later known as Kenreimon'in 建礼門院.
35 KbHM 3.1 'The Pardon'; M 98, T 134.
36 KbHM 4.5 'Nobutsura'; SNKBZ 45: 291, M 141, T 211.
37 KbHM 2.16 'Stupas Cast into the Sea'; M 94, T 125.
38 KbHM 2.17 'Su Wu'; M 94, T 125.
39 KbHM 6.5 'The Circular Letter'; M 206, T 321.
40 KbHM 3.18 'The Exile of the Cloistered Emperor'; SNKBZ 45: 257, M 127, T 182–185.

41 KbHM 5.1 'The Capital Moved to Fukuhara'; SNKBZ 45: 348, M 165–166, T 251.

42 KbHM 5.13 'The Return to the Old Capital'; SNKBZ 45: 409, M 193, T 296.

43 KbHM 6.1 'The Death of Retired Emperor Takakura'; SNKBZ 45: 422–423, M 198, T 308.

44 KbHM 3.11 'To Consult or Not the Chinese Physician'; SNKBZ 45: 226, M 115, T 163.

45 KbHM 3.15 'The Confrontation with Jōken'; SNKBZ 45: 244, M 122, T 176.

46 KbHM 3.17 'Yukitaka'; M 125, T 181.

47 KbHM 3.11 'To Consult or Not the Chinese Physician,' with the romanized phrase translated as "Kiyomori's high-handed ways" (M 117) and "Violent as Kiyomori was in his ways" (T 166).

48 KbHM 5.13 'The Return to the Old Capital,' with the romanized phrase translated as "the stiff-necked Kiyomori finally yielded" (M 193) and "Lord Kiyomori, who never honored any wish but his own" (T 296).

49 These episodes are not found in the older Yōmei-Gakushūin version 陽明・学習院本 of Book One translated by Tyler (2016). For French and Italian translations see the ones by René Sieffert (1988, pp. 145–147) and Giuliana Stramigioli (1975, pp. 311–17).

50 KbHM 6.8 'Sutra Island'; M 212, T 329.

51 KbHM 4.15 'The Night Bird'; M 163 ("senseless revolt"), T 245 ("futile revolt").

52 KbHM 1.13 'The Fight over Ugawa'; M 47 ("foolish conspiracy"), T 44 ("absurd conspiracy"); KbHM 2.11 'Tokudaiji Sanesada's Pilgrimage to Itsukushima'; M 86 ("senseless revolt"), T 112 ("futile rebellion"); KbHM 3.2 'Stamping in Frenzy'; M 99 ("miserable conspiracy"), T 136 ("futile rebellion").

53 KbHM 9.19 'Kozaishō Drowns'; M 323, T 515.

54 For an overview of canonical and non-canonical noh plays (*genkō kyoku* 現行曲 and *bangai kyoku* 番外曲) related to the Genpei conflicts, see Watson 2013 or Watson 2016 (online).

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### Abbreviations

KbHM Kakuichi-bon (Kakuichi variant) 'Heike monogatari' 覚一本『平家物語』 cited by book (*maki* 巻) and section (*shōdan* 章段) number accompanied by section title in the translation by Tyler (2012)
NKBT Nihon koten bungaku taikei 日本文学大系
SNKBT Shin Nihon koten bungaku taikei 新日本文学大系
SNKBZ Shinpen Nihon koten bungaku zenshū 新編日本古典文学全集

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*Simone Müller*

# A Young Lady's Longing for a Lost Past

## A Chronotopic Analysis of the Medieval Memoir 'Utatane' ('Fitful Slumbers')[1]

*Abstract.* This article analyzes temporalities in medieval Japanese women's literature by example of the memoir 'Utatane' ('Fitful Slumbers') from the thirteenth century. By using time theories as well as parameters of gender narratology, I argue that the description of an unhappy love affair in 'Utatane' discloses a conflict between the protagonist's individual life design (nootemporality) and conventional and gendered life schemes (sociotemporality); the narrative manifests a clash between open and closed time. The literary expression of this conflict serves as a means to address discontent with social structures at the time and to articulate nostalgia, manifesting the work's overall sense of time that may be defined as 'self-contemplating time.' The narrative's central theme of lost love may be read as a political-erotic allegory for the medieval court aristocracy's loss of power.

> [...] waiting for the moonlight [...] I slid open the door as usual and gazed out. But the lonely scene of the dew in the now desolate autumn garden [...] only seemed to renew my sorrow. I [...] considered for a while what had happened and what would become of me. ('Utatane,' trans. Wallace, p. 399)

### 1. Introduction

Japanese medieval court literature shows a clear interest in issues of time, notably in notions of ephemerality. This concern reflects aesthetic worldviews and Buddhist concepts of temporality as well as the political

and social environment at the time; at the end of the twelfth century, power shifted from the court nobility located at Heiankyō 平安京, today's Kyōto, to a warrior regime, the so-called *bakufu* 幕府 ('tent government'), in the eastern coastal town of Kamakura. This politically turbulent transformation into a feudal, patriarchal system had a far-reaching impact on the economic and social position of courtiers and was accompanied by changes in the awareness of time that were characterized both by a sense of deterioration and decline and by an increase in its economization. The insecurity incited courtiers to reflect on their situation and on life itself, which can be observed in their aesthetical writings. Kamakura thus became "a society of questions" (Souyri 2001, p. 65). In literary production we can observe a general trend from a pessimistic and contemplative attitude that finds expression in deploring impermanence (Ienaga 1969, p. 186; Kanemoto 1977, pp. 11–15) and yearning for the pure land of Buddha Amitābha (Amida-butsu 阿弥陀仏) in a future yet to come (Hirano 1969, p. 54; Hirano 1984, pp. 13, 28) toward an affirmative appreciation of the fleeting moment and an internalization of time by freezing it in an imagined world of beauty (Kanemoto 1977; Nagafuji 1984; Hirano 1984; Satō 2005, pp. 118–123). Literary expression of temporality became a tool to encrypt dissatisfaction and encode social criticism.

It is notably narrative that appears to be intrinsically temporal, as time is "a universal feature of narrative" (Currie 2007, p. 2). H. Porter Abbott defines narrative as "the principal way in which our species organizes its understanding of time" (Abbott 2002, p. 3; quoted in Huisman 2013, p. 49). For Paul Ricoeur, narrativity and temporality are reciprocal, as he understands "temporality to be that structure of existence that reaches language in narrativity and narrativity to be the language structure that has temporality as its ultimate referent" (Ricoeur 2002, p. 35). It comes as no wonder then, that time constitutes an essential category of narratology, both traditional and postclassical. Moreover, since narratives are retrospective processes by which events and the actions of one or several per-

sons are given meaning, they are more than a mere retelling of the life actions of a person as they were directly experienced. They rather represent the meaning of these experiences from the present perspective of the respective person or narrator, reconstructing past events by way of a figurative configuration of meaningful and culturally available plots (Polkinghorne 1998, p. 24). The analysis of temporality in literary expression may thus help to decode an individual's attitude towards his/her society and gendered conventions.

In the following, I shall analyze gendered literary representations of medieval Japanese notions of time by the example of 'Utatane' うたたね ('Fitful Slumbers'), a thirteenth-century memoir describing the unhappy love affair of a young lady-in-waiting with a courtier of higher standing and her efforts to get over her lover and regain her autonomy. 'Utatane' is particularly well-suited as a case study for the narrative expression of temporality in medieval Japan. It prototypically represents the worldviews and temporal sensations of the female court in the thirteenth century, which were characterized by a longing for the past, a fear of the future and an unsatisfactory present. While 'Utatane' seems at first sight to be purely subjective and aesthetic prose, the work reveals itself as addressing various social issues. It supplies a fascinating testimony of the intellectual activity of a woman in premodern Japan.

The main questions I shall probe are: which temporal sensations are expressed in 'Utatane' and how do these sensations disclose a conflict between the protagonist's personal life design and conventional and gendered life schemes of the time? In order to answer these questions, I will use a combination of literary time theories and gender-narratological parameters. J.T. Fraser's (1978[2]) hierarchical theory of time, notably his category of nootemporality[3], i.e. the *umwelt* of individual human beings, and that of sociotemporality, the *umwelt* of human societies' imposing their rhythms and agendas on individuals, has been helpful in these regards. They constitute the two main areas of conflict in which the protag-

onist in the *Utatane* acts, i.e. "the stage upon which [the protagonist's] drama is played" (Fraser 2007, p. 180). Another helpful approach is Bakhtin's theory of chronotope (1981), a formally constitutive category of literature that describes the connectedness and generic significance of time and space in literary expression. Directly related to Bakhtin's theory are four extreme forms of chronotopic experiences (images of affection) formulated by Bart Keunen (2010). Keunen's model helps to specify temporal conflicts by showing the degree of temporal acceleration and spatial saturation at work. Gary Saul Morson's (1994) concept of temporal shadowing, also inspired by Bakhtin, provides an additional tool that illuminates the degree of open (undetermined) and closed (determined) time in the narrative. Parameters of gender narratology give an insight into gendered concepts of temporality and disclose genre-specific temporal expressions, mentalities and worldviews (Warhol 1989, pp. 4–5).[4]

By applying these approaches, I shall show that by describing an unhappy love affair 'Utatane' exposes a conflict between noo- and sociotemporality that corresponds to one between open and closed time, thus disclosing that in medieval Japan we find notions of self-determined life designs. I argue that this temporal conflict is a means to express dissatisfaction with gendered and conventional life schemes and to encode nostalgia for the court culture of the Heian period (794–1185) in the tradition of medieval court narratives (*chūsei ōchō monogatari* 中世王朝物語). I therefore employ narratology as a "heuristic tool" that is used in conjunction with other theories, thus rendering narrative analysis into an activity of "cultural analysis" (Brockmeyer/Carbaugh 2001, p. 5).

## 2. Generic Context: Major Chronotopes in Memoirs of Japanese Court Ladies

An indispensable source for the investigation of time perception in medieval Japan are memoirs of court ladies of the Heian and Kamakura (1185–1333) periods, which since the 1920s are known under the term *joryū*

*nikki bungaku* 女流日記文学 ('women's diary literature') (e.g. Schamoni 2003, p. 76; Suzuki 2000, p. 71). They deal with private affairs—usually love relationships and life at the imperial court. While we may trace differences, depending on the work's date of origin, the author's social environment and her position at court (Wakita 1999; Imazeki 1990, p. 136; Tonomura [et al.] 1999; Kurushima 2004; Goto 2006), common features can be identified and defined generically by way of chronotopes.

As early as the 1930s, Bakhtin has developed his ground-breaking concept of the chronotope as an analytical tool for the study of narrative. According to Bakhtin, chronotopes—motifs that show a condensed interrelation between time and space—serve as the central organizers of the principal events in a novel, giving a work its "artistic unity" (Bakhtin 1981, p. 243). They are the main generators of narrative action and may therefore be defined as the very 'knots' in which identity building and hidden layers of desires culminate.

Bakhtin distinguishes between 'major' or 'generic' and 'minor' or 'motivic' chronotopes. Generic chronotopes are equated with the worldview of a text, "the place where the knots of narrative are tied and untied" (Bakhtin 1981, p. 250), while a motivic chronotope is understood as a "condensed reminder of the kind of time and space that typically functions" in a text (Morson/Emerson 1990, p. 374). Each implies a specific temporal experience, shedding light on the relationship between literature and the "culture of a given epoch," especially their "lower" and "deep currents" (Bakhtin 2002, pp. 2–3).

A major generic chronotope of Japanese court ladies' memoirs is 'everyday time.' Notably in dairies written by female aristocrats living at their families' homes, time is often felt to be repetitious, cyclical, determined and unfulfilled. As a secondary generic chronotope we may define *sōshitsu* 喪失, or 'loss' directed at nostalgia for an irretrievable past (Imazeki 1990, p. 142; Takahashi 1991). The most specific experience of loss—besides the death of a beloved—is that of love. Literary expression of ennui and loss

powerfully represents the social marginalization of court ladies: women of the nobility, as a rule, did not act in public, but spent most of their lives sequestered in their chambers behind bamboo blinds (*misu* 御簾), only leaving on specific occasions such as ceremonies or temple visits. They were constrained to wait passively for the visits of their partners (Yamanaka 1966; Akiyama 1988).[5] Therefore, many court diaries describe the lives of their protagonists as archetypal arenas of prolonged periods of *tsurezure* つれづれ, or idleness and ennui (Shimizu 1987, pp. 211–233; Tsumoto 2001). This found expression in the literary figure of the *matsu onna* 待つ女 ('waiting woman'), which may be identified as a subsidiary generic chronotope in memoirs of Japanese court ladies.

The literary staging of loss and unfulfillment also exhibits preexisting literary conventions: the topos of the waiting woman originated in *guiyanshi* 閨怨詩, Chinese boudoir poetry, mostly written by male court officials, that addresses love affairs from the point of view of neglected court ladies waiting in vain in their boudoirs for their lovers (Miao 1978). During the late Six Dynasties period (420–589), this motif was used as a political-erotic allegory for the ruler-official relationship, or as the encrypted complaint of a courtier who had lost the emperor's favor. The figure of the waiting court lady found its way into Japanese poetry in the eighth century and soon also into women's memoirs, eventually becoming the aesthetic ideal of femininity *par excellence* (Walker 1977; Raud 1999; Sarra 1999; Müller 2004). The topos of waiting fulfilled specific purposes in the lyrical role-playing game between lovers in exchange poems: complaints about night-long waiting were used to flirt with a partner, to provoke compassion and evoke visits. In a society that was characterized by patriarchal structures, the staging of weakness was a means to stabilize relationships, which formed the basis of economic security (Wakita 1999, p. 83). On the other hand, the topos is also a metaphor for the ephemerality of love and life, expressing a highly aestheticized complaint about

experiences of transitoriness, with the aim of awakening empathy in the reader concerning the ultimate finiteness of being.

Loss and waiting are expressed by way of extensive self-contemplation (*jishō* 自照; *jiko hanshō* 自己反照; *jiko kanshō* 自己観照), which may be defined as the overall temporal sensation of Japanese court ladies' memoirs (Hagitani 1970, pp. 485–486; Miyazaki 1972, p. 11; Imazeki 1990, p. 139). According to Ishida (1959, p. 3), self-reflective tendencies increase in the literature of the Kamakura period. He attributes this to the era's political struggles. From a gender-narratological perspective it may be argued that self-contemplation provides female "experiences of reality" (Allrath/Surkamp 2004, p. 172). While expressing social insecurity and attesting to a gendered marginalization of court women, introspection also counteracts the marginalization of the female worlds of experience by developing self-consciousness, thus nurturing a refusal of the social roles that were generally regarded as desirable (ibid., p. 171; Schamoni 2003, p. 79). Inner monologues also allow glimpses into alternative although not actualized "simultaneities of times" through the use of 'sideshadowings'[6] (Morson 1998, p. 602), thus encoding social criticism and providing notions of more open time. The generic chronotopes of Japanese court ladies' memoirs are schematized in Fig. 1.

| **Generic Chronotope** | **Temporal Direction** |
|---|---|
| Everyday time | Present (unfulfillment in the present) |
| **Secondary Generic Chronotopes** | |
| Loss (*sōshitsu*) | Past (fulfillment in the past) |
| Waiting (*matsu*) | Future (fulfillment in the future) |
| **Overall Sense of Time** | |
| Time of self-contemplation (*jishō*) | Past, present, future |

*Figure 1* Generic (major) chronotopes and sense of time in memoirs of court ladies

At this point, we may conclude that the generic chronotopes in memoirs of Japanese court ladies reveal a tension between personal desire (nootemporality) and socially and gendered determined life schemes (sociotemporality) that do not allow the realization of these personal desires (Fraser 2007, p. 180). By the example of 'Utatane' it will now be demonstrated how minor chronotopes are literarily navigated to express this conflict.

## 3. Temporalities at Odds: Minor Chronotopes in 'Utatane'

### 3.1 Content and Spatiotemporal Structure of 'Utatane'

Both the authorship and the date of origin of 'Utatane' are controversial for reasons that have been discussed in detail elsewhere.[7] In general, 'Utatane' is read as an early work of the lady-in-waiting Ankamon'in no Shijō 安嘉門院四条 (1226?–1283),[8] better known under her later name Abutsu-ni 阿仏尼 ('Nun Abutsu'): she is said to have written the work after an unhappy love affair. However, as Wallace (1988, p. 397) and Imazeki (2002, p. 27) have pointed out, 'Utatane' may well be a work of fiction, an attempt to master the conventional literary style of an account of a courtly love affair. Tabuchi (2009, pp. 43–44) also draws parallels to the so-called *chūsei ōchō monogatari*, medieval tales that recount love stories at the Heian court. Thus, we cannot rule out the possibility that the work may have been written at a later stage of Abutsu-ni's life.

'Utatane' describes, mainly in chronological order, the hapless love of a young woman for a man of apparently higher standing who, after a short liaison, loses interest in her, rendering her a waiting woman. This basic plot is interwoven with two major journeys that figure the heroine's endeavors to overcome her yearning for her lover and to imbue her life with self-determination: the attempt to become a nun in a temple and a stay at the provincial estate of her stepfather. Both end with a return to the capital. There the story concludes with the protagonist's realization that she

must accept her situation, as well as with anxious thoughts about her future.

'Utatane' does not contain any dates, but the seasons inform us that the time of the narrative is roughly equivalent to two years, beginning in spring and ending in winter of the following year. This is an analogy to the course of courtly love as expressed in the arrangement of love poems in imperial anthologies (Konishi 1958; Matsuda 1980; Müller 2014), typically beginning with the man's courting in spring and ending with separation in winter, leaving the court lady with disillusionment and the simultaneous recognition of the transience of love and all earthly phenomena. Experiential time in 'Utatane' is therefore closely related to feelings of ephemerality and loss that are metaphorized by natural phenomena such as changing seasons. The chronology is ruptured by an anachrony: the narrative begins in a temporally unspecified autumn with a prolepsis in which the end of the love story is anticipated, followed by a short paragraph in which the course of the love story is retrospectively summarized, thus constituting the love relationship as a nostalgically recalled event of bygone days. Through this anachrony the temporal course of action differs from the characteristic chronology of male diaries (see also Kilian 2004, p. 74).

The spatiotemporal structural units of 'Utatane' (see Nagasaki 1990, pp. 155–156; Watanabe 1990, p. 169) can be assigned to narrative sequences (Adam 2005 p. 54) as follows: the scene after the prolepsis describes the initial situation, in which the liaison is addressed. In part two, the complicating situation (*mise en intrigue*) unfolds, namely, the man's lack of visits and his growing indifference. In the main part, the protagonist's actions to resolve the problem by way of two journeys are developed. The story's resolution is the heroine's return to the capital and the final situation is her insight into the irrefutable transience of all worldly things (Fig. 2).

| Season (Time) | Location (Space) | Main Plot Elements | Narrative Sequences |
|---|---|---|---|
| autumn (unspecified) | boudoir (capital) | prologue: retrospection of love affair | *prolepsis* |
| spring to summer | boudoir (capital) | love affair | *initial situation* |
| autumn | boudoir (capital) | infrequent visits of the lover; last visit of the lover | *complication* |
| winter to the end of the following year | boudoir (capital)<br>road to temple<br>temple in Nishiyama<br>road to Tōtomi<br>Tōtōmi (province) | resolution to take the tonsure<br>journey to temple in Nishiyama<br>sojourn at temple in Nishiyama<br>journey to Tōtōmi<br>sojourn in Tōtōmi | *action* |
| end of the year (winter) | road to capital | return to capital | *resolution* |
| end of the year (winter) | boudoir (capital) | epilogue: resignation; acceptance; insight; self-revelation | *final situation* |

*Figure 2* Spatiotemporal narrative sequences of 'Utatane'

'Utatane' thus has a well-designed narrative structure, with synthesizing irreversible time sequences that connect past, present and future to a transforming movement (see also Keunen 2010, p. 47). The work's narrative structure, characterized by the three temporal elements of initiation, execution and completion (cf. Steineck 2017, p. 30), points toward a segmented, linear time (cf. Maki 2003). The protagonist's return to the point of departure (as well as the temporal arrangement in the form of a two-year cycle) involves circular as well as cyclical time patterns, exhibiting an exciting combination of different temporalities.

### 3.2 Chronotopes in 'Utatane': Nootemporality *versus* Sociotemporality

The narrative's spatiotemporal structure is literarily navigated by minor or motivic chronotopes and temporal shadowings (indications of possible but unrealized realities as well as future outcomes) that show the protagonist's desires and individual development as well as the social and mental restrictions that prevent her from realizing her life designs.

Bart Keunen (2010, pp. 43–44) has formulated four 'poles' of chronotopic experiences ('images of affection') within which the human experience of time and space oscillates. On the spatial axis, the situation is either static or empty, with little new information presented; or the situation is saturated, with new stimuli presented. On the temporal axis, the observing consciousness, i.e. the focalizer, either slows down the processing of information or accelerates it by reacting in an alert way to new information. These temporal processes are related to how consciousness deals with memory and anticipation. A consciousness that slows down changes holds expectations concerning the outside world through prior knowledge present in memory, while an accelerated consciousness awaits new information without using memory or fostering expectations (ibid., p. 43). Keunen systematizes Bakhtin's five minor chronotopes (from 'Forms of Time and of the Chronotope in the Novel,' 1937–1938, trans. 1981) into oppositional pairs on the basis of contrasts in the quality of experience: the chronotope of the provincial town (= slowed-down/empty) is diametrically opposed to both the chronotope of the encounter (or the chronotope of the road) and that of the salon (= accelerated/saturated). The chronotope of the threshold (= slowed-down/saturated), on the other hand, is opposed to the chronotope of the gothic castle (= accelerated/empty) (Fig. 3).

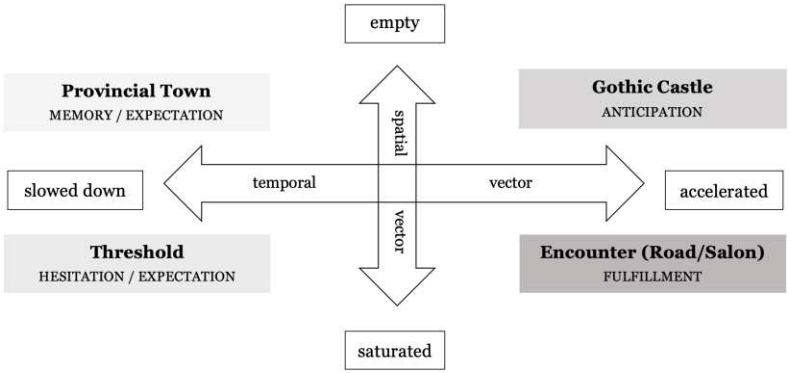


*Figure 3* Spatiotemporal (chronotopic) experiences in the Western novel according to Bart Keunen

This scheme can be adapted to the minor chronotopes and the levels of socio- and nootemporality of 'Utatane' (Fig. 4).

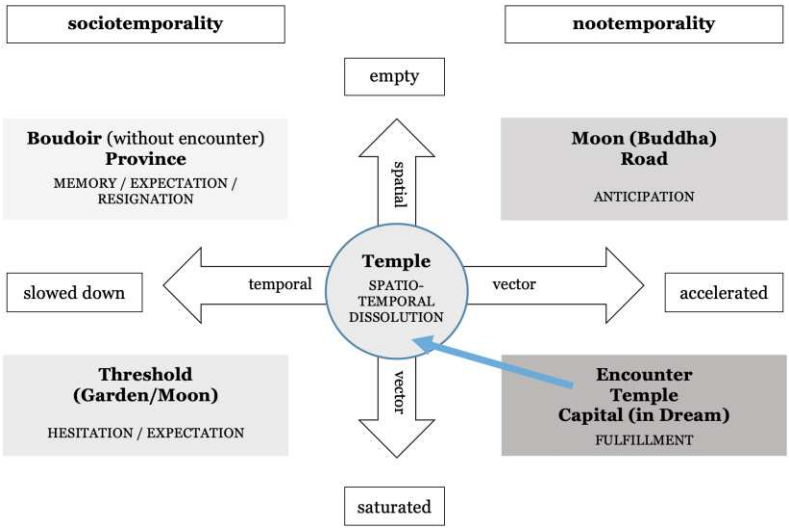


*Figure 4* Spatiotemporal (chronotopic) experiences in 'Utatane'

**Boudoir and Encounter: Slowed-Down/Empty vs. Accelerated/Saturated Time and Space**

The narrative starts in the protagonist's boudoir at an estate in Kitayama 北山 in the outer quarters of the capital—symbolically stressing her social isolation. We find the heroine in solitary conversation with herself:

もの思ふことの慰むにはあらねども、寝ぬ夜の友と慣らひにける月 (1) の光待ち出でぬれば、例の妻戸押し開けて、たゞ一人見出だしたる、荒れたる庭の秋の露、かこち顔なる虫の音も、物ごとに心を痛ましむるつまととなりければ、心に乱れ落つる涙をおさへて、とばかり来し方行く先を思ひ続くるに、さもあさましく果無なかりける契りの程を、など、かくしも思ひ入れけんと、我心のみぞ、返す〳〵恨めしかりける。

夢うつゝ (2) とも分きがたかりし宵の間より、関守のうち寝る (3) 程をだに、いたくもたどらずなりにしにや。打ちきる夢の通ひ路は、一夜ばかりの途絶えもあるまじきやうに慣らひにけるを、さるは、月草のあだなる色を (4)、かねて知らぬにしもあらざりしかど、いかに移りいかに染めける心にか、さもうちつけにあやにくなりし心迷ひには、「伏し柴の」(5) とだに思ひ知らざりけり。

やう〳〵色づきぬ。秋の風 (6) の憂き身に知らるる心ぞ、うたてく悲しきものなりけるを、をのづから頼むる宵は、ありしにもあらず、うち過ぐる鐘の響きをつく〳〵と聞き臥したるも、生ける心地だにせねば、げに今さらに「鳥はものかは」(7) とぞ思ひ知られける。('Utatane,' SNKBT 51: 158–159; emphasis added)

I'm sure it did no good to think back about our affair so incessantly. Yet waiting for the moonlight (1)[9] that I had made my friend on sleepless nights, I slid open the door as usual and gazed out. But the lonely scene of the dew in the now desolate autumn garden and the doleful sound of insects only seemed to renew my sorrow. I held back bitter tears and considered for a while what had happened and what would become of me. I felt nothing but resentment[10] as I thought obsessively about the wretched, meaningless affair.

After our first night together, a night that then seemed more a dream than reality (2),[11] he often didn't even bother to wait for the night watchman to doze off (3).[12] And so I expected an unbroken string of nights dreaming with him. It wasn't that I hadn't already learned that a man's inconstancy is like the easily fading dye made from the dayflower (4), but my heart had gone out to his, and his had dyed into mine. It was a time of careless and unfortunate

> confusion. Just as in the poem "I expected it," (5) I didn't realize how painful losing him could be.
>
> The trees had begun to turn color, and my heart felt sad in the cold autumn wind (6). Even on nights when he asked me to wait for him, it wasn't now like it had been before. I lay in bed, acutely aware of the striking of the bell that marked the passing hours, feeling as if I were dead. It was then that I learned the pain of waiting through the night described in the poem, "If he does not come." (7) Although our secret meetings [lit. dream feelings, sm] hadn't ended completely, they were now different from before. Even though various things were coming between us, I didn't recognize the change right away. Such, I suppose, are the ways of an affair. ('Utatane,' trans. Wallace, pp. 399–400; emphasis added)

The scene exemplifies the protagonist's state of mind as well as her time awareness, characterized by nostalgia, an unfulfilled present and a fear of the future (Imazeki 2002, p. 26; Imazeki 2005, pp. 146–147). The conflict between her noo- and sociotemporality is spatially semanticized by her gaze out of her boudoir, figuring a longing for self-determination and liberation (cf. Würzbach 2004, p. 54), the waiting for the moonlight, figuring a longing for Buddhist enlightenment, and by her confinement in her chambers, the futile waiting for her lover on sleepless nights, the garden's desolation, the autumnal setting, the dew and the bitter sound of the insects, figuring determinism, transitoriness and unfulfillment.

This restricted space of action is directly connected to the static topoi of pondering (about the past) and waiting (for the future), thus connecting to memory and expectation. The boudoir in 'Utatane' and many other medieval memoirs—similar to the provincial town in the modern realist novel (Bakhtin 1981, p. 248)—stands for the protagonist's social constraints and is characterized by monotonous and "cyclical everyday time" (Bakhtin 1981, p. 247), deceleration and emptiness that is subjectively experienced as a feeling of melancholy and ennui. The protagonist's experience of slowed-down time and empty space manifests itself, *inter alia*, through the frequent use of iteratives ("sleepless nights, [...] as usual") as well as static verbs such as *matsu* ('wait'), *miru* ('see') or *nagamu* ('stare'), from

which the noun *nagame* 眺め ('long gaze' or 'idly musing about things while gazing at some object') derives. *Nagame* 長雨 can also mean 'long rain' and thus allows for wordplay.

Nostalgia is highlighted by extensive allusions to earlier texts (underlined and numbered in the quotation above) such as classical tales and poems (Watanabe 1989, pp. 148–158; Murata 1994; Laffin 2013, pp. 67–78) as well as by the use of old expressions (*kotengo* 古典語) of the Heian period (Wallace 1988, p. 393; Watanabe 1989, p. 139; Shimauchi 1994; Wakabayashi 1998). Particularly in scenes where encounters with or yearnings for the beloved are described, the allusions to classics are abundant (Watanabe 1989, p. 140; Wallace 1988, p. 394) and may be interpreted as equative sequences, which Huisman (2013, pp. 62, 68) allocates to the 'sociotemporal narrative form' of the epic characteristic of ancient and medieval literature. While these allusions and expressions underline the protagonist's longing for her unfaithful lover, they are also a means to evoke a nostalgia for the Heian period's court culture that became known under the term *miyabi* 雅 (Nagafuji 1984, pp. 51–65).

The protagonist's slowed-down and nostalgic emotionality is contrasted to her biotemporality—the inexorable passing of time announced by the bells also signals the advance of biological time and loss of beauty—while her biographical time is blocked. Her decelerated time awareness is also contrasted with the accelerated and saturated experience of time and space during encounters with her lover. Only then does the boudoir turn into a place where time is experienced as fulfilled and consciousness becomes agitated, losing itself in a "world of difference" (Keunen 2010, p. 44). Typical of this experience is "a higher degree of intensity in emotions and values" (Bakhtin 1981, p. 243). This experiential fulfillment is linked to the chronotope of the dream throughout the narrative. As a rule, in scenes with her lover the protagonist falls into a state of uncontrolled and dreamlike confusion. This is most pronounced in the following passage:

例の人知れず中道近き空にだにたど／＼しき夕闇に、契り違へぬしるべばかりにて、尽きせず夢の心地するにも、[...] あか月にもなりぬ。枕に近き鐘の音も、たゞ今の命を限る心地して、我にもあらず起き別れにし袖の露、いとゞかこちがましくて、「君や来し」と思ひわかれぬ中道に、例の頼もし人にてすべり出ぬるも、返す／＼夢の心地なんしける。('Utatane,' SNKBT 51: 160–161)

The secret way he always took to come to my house was not long, but he did not arrive until late; it was as if he had come merely to keep his promise. Still, I was so happy that I felt I was in a dream from which I need never awake. [...] At dawn the nearby bell sounded as if tolling the end of my life, and I was beside myself as he rose from bed to leave. My sleeves were wet with dew, and I felt even greater resentment than before. Like any careful lover, he slipped stealthily out along the path from which I fancied he had perhaps never come. I could not help feeling it had been but a dream. ('Utatane,' trans. Wallace, p. 401)

As it exemplifies the interconnection of time and space, the dream is one of the most effective chronotopes in literature (cf. May 2006, p. 179). In classical Japanese literature, dreams fulfill manifold functions: they can foreshadow future events, thus rupturing the linearity of empirical time as an organizing principle; they can manifest (in Freudian terms) the recurrence of the suppressed by way of condensation and displacement (ibid., p. 180); or they can be used rhetorically, giving glimpses of alternative but unrealized presents (Morson 1998, p. 602). Moreover, the dream is used as a metaphor of yearning, of love confusion, of sexual intercourse and the unreality and ephemerality of life and love. In medieval literature, the motif is closely related to Buddhist concepts of transitoriness and the illusory nature of being. All these nuances are exhibited in 'Utatane.' In encounters with the lover, as in the scene above, the motif is used metaphorically to stress the protagonist's saturated and agitated experiential time and space; when encountering the beloved, she is filled with dream-like excitement. Later in the narrative, as will be demonstrated below, the

motif is used as a metaphor for the ephemerality of love and as a substitute sphere for the fulfillment of yearning.[13]

In the quotation above, the conflict between noo- and sociotemporality becomes most pronounced: the lover appears secretly, late at night, indicating his higher rank and desire to keep the liaison secret, but despite the sociotemporal connotations of the manner of his visit the protagonist experiences accelerated and fulfilled nootemporality by finding herself in a dreamlike state. The bells from a nearby temple that announce the daybreak—lovers had to part before daybreak, *per* social convention—mark a return to sociotemporality, to an everyday life that is empty, determined, circular and filled with boredom. The oscillation between fulfilled and unfulfilled time comes to an end when the man's visits discontinue. With her lover's absence and the corresponding loss of saturated and accelerated spatiotemporal experientiality, the protagonist becomes aware that her emotional fulfillment was nothing more than a heteronomous projection. Her striving to overcome this heteronomous state of mind leads us to the next of the constitutive chronotopes in 'Utatane,' the threshold, spatially embodied by the garden and the moon.

### Threshold (Garden and Moon): Slowed-Down/Saturated Time and Space

According to Bakhtin, the chronotope of the threshold is characterized by the will to take new decisions, as opposed to "the indecisiveness that fails to change a life, the fear to step over the threshold" (Bakhtin 1981, p. 248). It is connected to the motifs of encounter, crisis, hesitation and a break in life (ibid.). In 'Utatane,' the garden has a vital narrative function as threshold, spatiotemporally linking the boudoir with the encounters. It is a gendered place of yearning for change and escape (see also Würzbach 2004, p. 54): in classical Japanese literature, scenes in nocturnal gardens are often accompanied by a gaze at the moon (cf. Kanemoto 1977, p. 16).

The opening scene quoted above contains an allusion to a poem in the anthology 'Shūi wakashū' 拾遺和歌集 ('Collection of Gleanings,' ca. 1005–1007, poem 434) that expresses comfort over the death of a beloved person by means of regarding the moon. Through this allusion, the ephemerality of life is stressed, and the love affair from the very beginning is signaled as being irretrievably lost (Terashima 1992, p. 117). On the other hand, the gaze at the moon in the garden also becomes the threshold for decisions and, therefore, turning points in life. The incentive to take the tonsure and become a nun happens while gazing at the moon, where the heroine has a vision of a Buddha:

> 十二月にもなりぬ。雪かきくらして風もいとすさまじき日、[...] 露まどろまれぬに、やをら起き出でて見るに宵には雲隠れたりつる月の、浮雲紛はずなりながら、山の端近き光のほのかに見ゆるは、[...] 見し夜の限りも今宵ぞかしと思ひ出づるに、たゞその折の心地して、さだかにも覚えずなりぬる御面影さへ、さし向ひたる心地するに、まづかきくらす涙に月の影も見えずとて、仏などの見え給つるにやと思ふに、恥かしくも頼もしくもなりぬ。
> ('Utatane,' SNKBT 51: 162)

> On a wintry night in the Twelfth Month [...] I wasn't able to sleep, so I quietly arose, slipped from the room, and looked out on the night. It had stopped snowing sometime before and the moon, no longer hidden, was now shining among drifting clouds, its glow faintly outlining the rims of the nearby hills. [...] I recalled that the time I last saw him was under such a moon and I relived that night as if I were again with the man whose face I could not now even clearly remember. Soon the moonlight became obscured by my tears. I felt as if the Lord Buddha was there before me, and I was at once both ashamed and encouraged. ('Utatane,' trans. Wallace, p. 402)

The symbolism and temporal quality of the moon shifts to a longing for Buddhist enlightenment, which is also hidden in the image of the mountain's edge (*yama no ha* 山の端) illuminated by the moon. The desire for salvation from earthly suffering by entering the Way of the Buddha is a familiar topos in classical Japanese literature: by turning away from the world in meditation, oneness with the moment and dissolution of temporality can be obtained, liberating one from suffering that is caused by

clinging to transient things. The chronotopes of the garden and the moon thus manifest a slowed-down and saturated experientiality which with the vision of a Buddha (= encounter) gives glimpses into a mystical feeling of accelerated and saturated spatiotemporality that anticipates a feeling of temporal dissolution. The protagonist's vision of a Buddha is interpreted as a dream signal (*yume no shirushi* 夢のしるし; 'Utatane,' SNKBT 51: 162), a foreshadowing of her decision to take the tonsure.

**Road and Temple: Accelerated/Empty to Accelerated/Saturated Time and Space**

In Heian-period female memoirs space is tentatively confined to the boudoir or the palace, whereas the Kamakura period witnesses an increasing number of memoirs describing travels through the country, the destination often being a Buddhist monastery. This is related to socioeconomic insecurity and the establishment or revival of numerous nunneries at the time; before, these had been severely restricted by the state for political reasons since the ninth century (Hosokawa 1999).

Bakhtin treats the chronotope of the road as a point of new departure and place for renewal. It is a figure for the fusion of space and time (Bakhtin 1981, p. 244). Keunen treats the road as a chronotope of acceleration and saturation. This, as will be demonstrated below, applies only partly to 'Utatane.' The two journeys symbolize the protagonist's attempts to escape her heteronomous fate as a waiting woman, to forget her unfaithful lover and to imbue her life with self-determination by projecting herself into the future through action. The road figures a release from an unsatisfying reality, the gaining of a nuance of vagrancy (Imazeki 2002, p. 20). In this regard, 'Utatane' exhibits parallels to the Western 'adventure novel of everyday life,' in which the life of the protagonists merges with the actual course of their wanderings (Bakhtin 1981, p. 111).

The decision for the narrative's first journey to a nunnery in Nishiyama 西山 occurs on the wintry night quoted above, when the protagonist has a

vision of a Buddha.[14] On a spring night the following year—the season itself may figure renewal—she cuts her hair and writes a farewell poem; in retrospect, she questions whether she had thought at that moment of drowning herself in a river. An allusion to an episode in the 'Genji monogatari' 源氏物語 ('The Tale of Genji,' early 11th c.), dramatically staging the protagonist as the heroine of a fictional tale (Terashima 1992, p. 115; Imazeki 2002, p. 24), this scene may be interpreted as a sideshadowing of an alternative reality in which the protagonist puts an end to her life. This is not the case, however, and she leaves home alone at night. The time of departure complies with time practices in the Middle Ages: travels were started before daybreak and terminated after sunset (Tsugita 1986, p. 108; Masuda 2002, p. 45). As daybreak was considered to be at the fourth *koku* 刻 of the hour of the ox—i.e. between 2:30 and 3:00 a.m. (Steger 2017, p. 46)[15]—we may assume that the departure takes place before this time.

The protagonist's anxious mood at departure and during the journey is spatially semanticized by the blackness of the night, the cloudy and moonless sky as well as by the heavy rain during the whole journey, accentuated by the frequent use of the adjectives *osoroshi* ('frightening/uncanny'), *kokorobososhi* ('anxiously lost') and *kurashi* ('dark'). Nature is thus put in opposition to the safe haven of the court: the heroine enters a space in which the order of the courtly world does not apply, thus constituting a sort of heterotopia (Foucault 1994) which stands in reflectional relation to the space of normal order.

> 晦日比の月なき空に雨雲さへたち重なりて、いともの恐ろしう暗きに夜もまた深き [...]。入る嵐の山の麓に近づく程、雨ゆゝしく降りまさりて、向への山を見れば、雲の幾重ともなく折り重なりて、行くさきも見えず。[...] 惜しからぬ命も、たゞ今ぞ心細く悲しき。いとゞかきくらす涙の雨さ降り添ひて、来し方行先も見えず、思ふにも言ふにも足らず。今閉ぢめ果てつる命なれば [...]。('Utatane,' SNKBT 51: 164–165)

> The month was nearly at an end, so there was no moon. Rain clouds were gathering and made everything frighteningly dark. [...] As I approached the foothills that lead up to Mt Arashi, the rain came down even harder, while

> ahead the clouds were so piled up that I couldn't make out my destination. [...] I did not especially value my life, but now I was overcome with suffering and despair. Tears blurred my vision of the dark rain. I couldn't see either from where I had come nor where I was headed. I cannot adequately express how I felt and I thought that my life must be nearing its end. ('Utatane,' trans. Wallace, pp. 404–405)

The experience on the road is dominated by the anticipation of unknown danger and an uncanny atmosphere generated by the blurring of spatial information. This case bears similarities to the chronotope of the gothic castle in Western novels—rather than the chronotope of the road—which is characterized by the spatiotemporal qualities of emptiness and acceleration. The uncanny spatial semanticization can also be interpreted as a means of foreshadowing that the heroine's tonsure will not be sustainable.

At first, the heroine finds emotional peace in the nunnery. She regains a spatiotemporal sensation of saturation and acceleration in the sense of fulfillment:

> さてこの所を見るに、憂き世ながらかゝる所もありけりと、すごく思ふさまなるに。[...] 故郷の庭もせに憂きを知しらせし秋風は、法華三昧の峰の松風に吹通ひ、眺むる門に面影と見し月影は、霊鷲山の雲居遥かに心を送るしるべとぞなりにける。('Utatane,' SNKBT 51: 167)

> As I looked around the precincts, I thought how fortunate it was that such a sacred place existed in this world so filled with unhappiness. [...] The autumn wind that filled my garden back home with sorrow blew here through the hilltop pines in harmony with the chanting of the Lotus Sutra. The moonlight I had gazed upon as I waited longingly for my lover to appear at the gate became here a guide to lead my heart far away to the clouds over Eagle Peak[16]. ('Utatane,' trans. Wallace, p. 406)

The heroine's nootemporal experience and detachment from worldly sorrows is semanticized again by natural phenomena: the autumn wind that blows through the trees—autumn and pine trees are metaphors for longing—saturates the heroine with a feeling of harmony. And the moon no longer leads to thoughts about her beloved, but rather of the Buddha; thus, the motif combination 'moon'–'longing for Buddhist enlightenment'

is pushed forward to the feeling of nootemporal fulfillment and to the spatiotemporal experience of saturation and acceleration. Alternatively, if we want to go one step further, we may even argue that the protagonist experiences spatiotemporal dissolution.

However, she soon has to admit that she is not ready for life as a nun. The moon changes again into a figure of yearning and nights recur in which the heroine waits for the moon, a substitute for her lover and her only confidant in her loneliness. The feeling of expectation that initially accompanied her waiting gradually changes into disillusionment. The protagonist contracts an illness and leaves the nunnery for recovery in Otagi 愛宕. In the new place, she feels even more miserable and composes the following poem:

| | | |
|---|---|---|
| はかなしな | *Hakanashi na* | Though I bind my grass pillow |
| 短き夜半の | *mijikaki yowa no* | and lie down to rest, |
| 草枕 | *kusamakura* | how brief these nights are, |
| 結ぶともなき | *musubu tomo naki* | and how fleeting, too, are |
| うたゝねの夢 | *utatane no yume* | my dreams in fitful slumbers. |
| ('Utatane,' SNKBT 51: 169) | | ('Utatane,' trans. Wallace, p. 409) |

The work's whole message crystallizes in this poem (Kubo 1989, p. 75). It is the only passage in which the narrative's title, *utatane*, is mentioned. *Utatane* means 'unconscious napping in the afternoon,' but it traditionally refers to the dreaming of a lover (Konishi 1986, p. 206). The expression *utatane no yume* ('dreams in fitful slumbers') becomes a metaphor for the transience of life and love. The intertextual references to a dream poem by Ono no Komachi 小野小町 ('Kokin wakashū' 古今和歌集 ['Collection of Japanese Poems from Ancient and Modern Times'], ca. 905, poem 553), a poet from the ninth century who is said to have had an unhappy love for a man of high standing and therefore escaped into a dream world, suggests that our heroine is a Komachi-like figure. The poem articulates her impotence, her inability to give her life self-determination. What remains is the feeling that the love relationship and life itself are nothing but an evanes-

cent and sorrowful dream (Kubo 1989, pp. 71–72). Here the central turn in the narrative occurs. Henceforth, a feeling of resignation dominates and all spatial changes are either heteronomous or incited by the desire to return to the capital. This leads us to the narrative's last two chronotopes.

**Province and (Dream of the) Capital: Slowed-Down/Empty to Imaginary Accelerated/Saturated Time and Space**

After recovering, the heroine returns home, where she spends recurrent nights in idle waiting in her boudoir, now disillusioned and without hope for further visits or her following the way of the Buddha. Time and space again are experienced as slowed down and empty:

> 嘆きながらはかなく過て、秋にもなりぬ。長き思ひの夜もすがら、止むともなき砧の音、寝屋近ききり〴〵すの声の乱れも、一方ならぬ寝覚の催しなれば、壁に背ける灯火の影ばかり友として、明くるを待つもしづ心なく、尽せぬ涙の雫は、窓打つ雨よりもなり。('Utatane,' SNKBT 51: 170–171)

> Autumn came and I spent my days in useless lamentation. I passed the long nights with my thoughts for I was kept awake by the noisy singing of crickets near my room and the endless pounding of the fulling blocks. I waited fretfully for dawn and the lamp's light on the wall behind me seemed to be my only friend. I could not stop crying, and my tears fell more heavily than rain beating against the window. ('Utatane,' trans. Wallace, p. 410)

The heroine's isolation and spatiotemporal experience is semanticized by the autumn that again evokes in her a sense of desperation, by the long, thoughtful nights spent in waiting, the rain, the crickets, the endless pounding of the fulling blocks as well as by the notion that her only friend is the lamp shining at the wall. Not even the moon can give consolation anymore. In this desolate state of mind she sets out on a second journey, this time on the advice of her stepfather who suggests that she console herself in his residence in the province of Tōtōmi 遠江. Feelings of dreaminess, loneliness and fear accompany the departure, again semanticized by darkness, fog and rain. From the beginning, the protagonist is struck by homesickness for the capital, metaphorized by pine trees (*matsu no koda-*

*chi* 松の木たち; *matsubara* 松原; 'Utatane,' SNKBT 51: 174) that line the route; *matsu* serves as a pivot word (*kakekotoba* 掛詞[17]) since it can not only mean 'pine tree' but also 'to wait' (or 'to pine'). The capital, the center of courtly civilization and antipode to the province, commonly used as a metaphor for yearning in classical Japanese literature, is primarily a yearning for her lover's whereabouts, therefore representing an imagined but not realized encounter with her lover. Both the rain and the capital foreshadow that the journey will bring no comfort and will eventually result in the heroine's return.

As expected, the protagonist's yearning for the capital increases after her arrival in Tōtōmi. Her days are filled with fragmented and melancholic boredom (cf. Keunen 2010, pp. 44–45). Life in the province again stands for social constraints, sociotemporality and the experience of slowed-down time and empty space. She compensates for her dissatisfaction with dreams of the capital in which she can fulfill her nootemporality, sideshadowing a possible but unrealized life design. Both dream and the capital are imagined chrontotopes of encounter, filled by the experiential spatiotemporality of acceleration and saturation. However, even this fulfillment seems to be eventually at risk:

> 日数経るまゝに都の方のみ恋しく、昼はひめもすに眺め、夜は夜すがら物をのみ思ひ続くる。荒磯の波の音も、枕の下に落ち来る響きには、心ならずも夢の通路絶え果ぬべし。('Utatane,' SNKBT 51: 174)
>
> As time went by, I yearned only for the capital; I gazed out dreamily all day long, and brooded at night. The noise of the rough waves pounding the shore sounded as if they were rashing by my bedside, and it seemed that, although I wished otherwise, the dreams in which I had been able to travel back to the capital could be no more. ('Utatane,' trans. Wallace, p. 413)

**Return to the Boudoir: Slowed-Down and Empty Time and Space**

The heroine's retreat into the mental space of the dream may also be interpreted as a rejection of reality, encoding a social critique. However, her rebellion ends in disillusionment and final acceptance of the questioned

structures, which becomes evident with her eventual return to the capital, symbolizing a return to an empty and static state. Although she uses the illness of her nurse as a pretext, it is evident that the reason for the heroine's return is her desire to be near the object of her longing: upon entering the capital, her thoughts once again revolve around her beloved. The story ends with her arrival at home:

> 暮れ果つるほどに行き着きたれば 、思ひなしにやこゝもかしこも猶荒れまさりたる心地して所〴〵漏り濡れたる [...]。その後は、身を浮草にあくがれし心も、こり果てぬるにや、つく〴〵とかゝる蓬が杣に朽ち果つべき契りこそはと、身をも世をも思ひ鎮むれど、従はぬ心地なれば、又なり行かん果ていかが。
>
> われよりは久しかるべき跡なれどしのばぬ人はあはれとも見じ (‘Utatane,’ SNKBT 51: 177)

> We arrived home at sunset. It was probably my imagination, but everything seemed run-down; here and there the house was damp and leaky. [...]
>
> Perhaps I had learned something from my urge to drift off like the floating reeds, for I decided afterward that it must be my fate [karma, sm] from a former life to stay and rot away in this humble place. I was determined to stop worrying over my troubles and destiny in this world. But my heart does not always act according to reason, and I could not help wondering what would become of me.

| | |
|---|---|
| *ware yori wa* | Even though these tracings |
| *hisashikaru beki* | may outlast me, |
| *ato naredo* | he who no longer thinks of me |
| *shinobanu hito wa* | will not look on them |
| *aware tomo mi ji* | with feeling. |

(‘Utatane,’ trans. Wallace, pp. 415–416)

The homecoming to the capital figures a return to slowed-down time and empty space in the boudoir which is now accompanied by the weary realization that this is likely her fate. Here we find the narrative's clearest reference to karma determined by actions in former lives (*chigiri*). The concluding poem, by which the protagonist ‘entrusts her feelings’ (Terashima 1992, p. 117) to a quotation from the anthology ‘Shoku Gosen wakashū’ 続後撰和歌集 (‘Anthology of New Pickings,’ 1251, poem 1140),

expresses her fears concerning her future. For the first time, the narrator also makes indirect reference to the memoir's *raison d'être*: although formulated in a negative way, the goal is the revelation of her feelings to her lover in order to awaken a sense of compassion in him. In this way, she reveals that she is still in the mode of a waiting woman, although ripened by her experiences. This ripening process that shows features of a coming-of-age novel becomes double-layered by the process of writing, through which experiences are recapitulated and assimilated.

To summarize, we may schematize the chronotopes and their arrangement in the narrative to exhibit the conflict between noo- and sociotemporality as follows (Fig. 5):

| **Chronotope** | **Awareness of time** | **Spatial situation** | **Temporal direction of affection** | **Temporality (Fraser)** | **Open/ closed time** |
|---|---|---|---|---|---|
| boudoir (without encounter) | slowed down | empty | memory/ expectation | sociotemporality | closed |
| encounter | accelerated | saturated | fulfillment | nootemporality | open |
| garden (Kitayama) | slowed down | saturated | hesitation/ expectation | sociotemporality/ nootemporality | closed/ open |
| road (to Nishiyama) | accelerated | empty | anticipation | nootemporality | open |
| temple (Nishiyama) | accelerated → temporal dissolution | saturated | fulfillment | nootemporality | open |
| Otagi | slowed down | empty | resignation | sociotemporality | closed |
| road (to Tōtōmi) | accelerated | empty | resignation | sociotemporality | closed |
| province (Tōtōmi) | slowed down | empty | resignation | sociotemporality | closed |
| capital (in the dream = encounter) | accelerated | saturated | fulfillment | nootemporality | open |
| boudoir | slowed down | empty | resignation/ insight | sociotemporality | closed |

*Figure 5* Chronological arrangement of chronotopes in 'Utatane' and their spatiotemporality

The arrangement of the chronotopes first shows an oscillation between empty/slowed-down spatiotemporal experientiality in the lonely boudoir

on the one hand, and saturated/accelerated (i.e. fulfilled) experientiality in the heroine's encounters with her lover on the other. With her lover's absence, she shifts her projection first to the moon and then to the Buddha (temple), thus momentarily recovering saturated and accelerated experientiality, and even glimpses into temporal dissolution. As this proves ineffective in the long run, the heroine retreats to the boudoir and then to the province, where she shifts her longing to the capital (symbolizing the lover) and eventually to dreams of the capital, relocating her life scheme (nootemporality) into imagination. The eventual return home to the slowed-down and empty chronotope of the boudoir points to the impossibility of an escape from social structures, attesting that the protagonist's longing for self-determination is not realizable. The semantical frontier, the 'threshold,' is not transgressed for good (cf. Schulz 2015, p. 308), and time, in the end, proves to be closed and fatalistic. In gender-narratological terminology we encounter a woman who strives in vain to develop from a state of 'being' (heroine) into one of 'becoming' (hero) (Gutenberg 2004, p. 100).

We may therefore summarize that the protagonist's experiences, respectively the love relationship ('crisis') and her journeys (attempts of 'resolution'), leave their traces in biographical time; just as in a coming-of-age novel, the protagonist undergoes a metamorphosis and, as in an 'adventure novel of everyday life,' due to a crisis, sets out from home on a journey—leaving 'everyday time' and entering 'adventure time'—and returns home to everyday time changed (Bakhtin 1981, pp. 112–113, 120). It is not, however, a crisis with a subsequent rebirth but rather a resignation in the form of insight into and acceptance of the ultimate transience of all being. Still, we find here a "singular self-consciousness" (ibid., p. 143) and the chronotope of a life course of a person seeking true knowledge, which shows similarities to the biographical novel of the Platonic type. The protagonist's path passes from ignorance through self-critical skepticism to knowledge (ibid., p. 130) of the world's transitoriness.

## 4. Summary and Conclusion: Chronotopes as Narrative Tools for Identity Construction

As elaborated in this article, 'Utatane,' by means of an unhappy love affair, describes an individual's conflict between nootemporality and sociotemporality and her endeavors to overcome this conflict. The crisis and the protagonist's actions for resolution are literarily navigated by way of several chronotopes and temporal shadowings that manifest a clash between open and closed time: nootemporality is expressed by the chronotope of the encounter, the temple, the dream and the road to Nishiyama as well as by sideshadowings that give glimpses to unrealized simultaneities of times. Sociotemporality is expressed by the chronotope of the boudoir and the province as well as by foreshadowings announcing the eventual failure of the protagonist's endeavors. The threshold between noo- and sociotemporality, where decisions are made, is the garden and the moon.

The literary navigation of the minor chronotopes attests to the fact that 'Utatane' is strongly "focused on the staging of temporal experiences and the evocation of concomitant affective states" (Keunen 2010, p. 45), leading from socio- to noo- and back to sociotemporality that is now enriched by the feeling of acceptance. The conflict between noo- and sociotemporality thus combines circular time and segmented linear time as well as glimpses into time dissolution to form a time loop.

The literary navigation of chronotopes as the narrative's central knots can thus be used as an analytical tool for a gender-narratological analysis that allows to decode the heroine's attitude towards her society and her time. Chrontopes therefore figure as the narrative's constituent features in which identity building and hidden layers of desires culminate. The obstacles "in the course of the hero's journey to a state of equilibrium" (Bemong/Boghart 2010, p. 7) lie in patriarchal, polygamous and economic structures as well as in the protagonist's mental disposition. Those factors expose stereotypes and literary conventions that are rooted in specific gender concepts of medieval court society. By way of the protagonist's

dealing with these obstacles, we can read her attitude towards society and her evolution in it. The literary navigation of the chronotopes in 'Utatane,' therefore, provides information about intellectual and emotional attitudes (transience, melancholy) and social structures (polygamy) as well as gender concepts (exclusion of women from public life) of the Kamakura period.

A spatiotemporal analysis of the work shows that 'Utatane' expresses more than it conveys at first sight: lost love that is compared to a short dream during a fitful slumber can—similar to Chinese boudoir poetry—be read as a political-erotic allegory for the court aristocracy's loss of power in medieval Japan. The literary expression of a conflict between noo- and sociotemporality in 'Utatane' thus reveals practical objectives in two senses. It serves to intellectualize experiences and at the same time it appeals to the reader and demands response, by criticizing and by expressing nostalgia for the past, pointing towards the sophisticated court culture of the Heian period. The work is also a means to prove literary mastery—significant cultural capital for a court lady. 'Utatane' testifies to an intellectual act of a Japanese woman, manifesting an encoded 'aesthetic of resistance.'

## Notes

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2 Reprinted in Fraser 2007, pp. 154–176, see also pp. 58–61, 180–182 and 272–277.

3 From the Greek term *nous* νοῦς ('mind,' 'intellect'), referring to the ability of the human mind of intellectual apprehension and intuitive thought. See 'Encyclopaedia Britannica' (online).

4 For a gender-narratological analysis of 'Utatane,' see Müller 2015.

5 On gender roles in medieval Japan, see Wakita 1999.

6 Morson introduces the term 'sideshadowing' to express possible but not actualized realities that are hinted at in narratives by making "two or more alternative presents, the actual and the possible, [...] simultaneously visible," by casting "a shadow 'from the side'" (Morson 1998, pp. 601–602).

7 See e.g. Ikeda 1965; Matsumoto 1983; Nagasaki 1986, pp. 5–6; Wallace 1988; Watanabe 1989, pp. 127–140; Ōzuka 1990, pp. 213–218; Ide 1997; Tabuchi 2000, pp. 81–145; Tsugita/Watanabe 2007, pp. 10–12.

8 I follow here the life data suggested by Nagasaki Ken (1986, p. 4). For different theories about Abutsuni's life data, see ibid., pp. 1–4.

9 Allusion to a poem (434) in the anthology 'Shūi wakashū' 拾遺和歌集 ('Collection of Gleanings,' ca. 1005–1007).

10 The heroine's resentment informs us that she has chosen one thing when she could have chosen another (Morson 2010, p. 101), thus giving witness to undetermined, open time concepts at work.

11 Allusion to a poem in the 'Ise monogatari' 伊勢物語 ('The Tales of Ise') that is also contained in the anthology 'Kokin wakashū' 古今和歌集 ('Collection of Japanese Poems from Ancient and Modern Times,' ca. 905, poem 645).

12 Allusion to a poem in the 'Ise monogatari' (also in 'Kokin wakashū,' poem 632). In the following, I will mention allusions only if they are essential to the argumentation.

13 For a discussion of the different functions of the dream motif in 'Utatane,' see Kubo 1989.

14 It is also argued that the retreat into the nunnery is a means to test the lover's heart (Imazeki 2002, p. 25) and gain his attention (Laffin 2013, p. 83), a goal-oriented spatial deprivation that can be found in other court women's memoirs such as the 'Kagerō no nikki' かげろふの日記 ('The Gossamer Years,' ca. 974).

15 For a diagram of the Chinese twelve-hour system, see Steger/Steineck 2017, p. 12.

16 Ryōjusen 靈鷲山 (Gṛdhrakūṭa): mountain on which the Buddha is said to have preached many sermons.

17 *Kakekotoba*, often translated as 'pivot word,' is a rhetorical device of Japanese poetry that uses homonyms to suggest different meanings of a word.

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### Abbreviations

SNKBT Shin Nihon koten bungaku taikei 新日本古典文学大系

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*Robert F. Wittkamp*

# ‘Genji monogatari emaki’ as Trans- and Intermedial Storytelling

## Previous Knowledge and Time as Factors of Narrativity

*Abstract.* The ‘Illustrated Handscrolls of the Tale of Genji’ (‘Genji monogatari emaki’) are based on ‘Genji monogatari,’ a literary work written at the beginning of the eleventh century by Murasaki Shikibu. The handscrolls were manufactured between approximately 1120 and 1140. This paper scrutinizes certain relationships between the literary work and the excerpts contained in the handscrolls as well as the relationships between the textual excerpts and the pictures of the handscrolls. The leading question of the examination is the extent to which the description of time is included in the excerpts and pictures, and how this sheds light on the problem of ‘potentially narrative paintings.’ These issues will be discussed by taking the hypotheses of two Japanese scholars into account. While Sano Midori claims that an adequate reception of the handscrolls requires the knowledge of the original text, Shimizu Fukuko takes the opposite standpoint. For her, previous knowledge is not necessary. However, as seen from a cognitive narratology perspective, the analyses will show how previous knowledge can evoke images of passing time, even in a single picture.

### 1. Introduction

The ‘Genji monogatari’ 源氏物語 (‘The Tale of Genji’) consists of interwoven narrative strands written by Murasaki Shikibu 紫式部, an erudite lady-in-waiting at the court in Heiankyō 平安京 (Kyōto). She began composing the tale between 1001 and 1005, but the date of completion has not been established. The first part of the fifty-four chapters recounts the life

of Hikaru Genji 光源氏, literally 'Shining Genji,' the son of a fictive emperor. In the last third of the tale, after Genji's death, the stories deal with other characters. 'The Tale of Genji,' which has been translated into English at least four times, is considered to be the peak of the *monogatari* 物語 ('tale,' literally: 'storytelling') literature. It has exerted a great deal of influence not only on the following *monogatari* literature but also on Japanese culture as a whole. Haruo Shirane writes,

> The history of the reception of *The Tale of Genji* is no less than a cultural history of Japan, for the simple reason that the *Genji* has had a profound impact at various levels of culture in every historical period since its composition, including the twenty-first century, producing what is called "*Genji culture*." (Shirane 2008, p. 1)

The original manuscripts have not survived, and the oldest documents comprising excerpts of the text are the 'Illustrated Handscrolls of The Tale of Genji' ('Genji monogatari emaki' 源氏物語絵巻),[1] which were manufactured approximately one hundred years later, sometime between 1120 and 1140. Although the 'Illustrated Handscrolls' presumably encompassed all fifty-four chapters, only a small proportion of them has survived, and today even these remnants are divided between the two museums Tokugawa Bijutsukan 徳川美術館 in Nagoya and Gotō Bijutsukan 五島美術館 in Tōkyō. Picture handscrolls and illustrated books recounting 'The Tale of Genji' remained popular throughout the centuries after the original work was completed and were produced in large number. Some of them still exist today, but I am going to examine only the one mentioned above, henceforth referred to as 'Illustrated Handscrolls,' and only one chapter thereof. Yukio Lippit assumes that the "work originally consisted of ten or twelve scrolls containing more than a hundred excerpts and accompanying paintings, an average of two scenes from each" of the chapters (Lippit 2008, p. 49; cf. Sano 2001, p. 7). The remnant 'Illustrated Handscrolls' comprise nineteen chapters with nineteen paintings[2] and excerpts of varying length, which were written on extensively decorated sheets of paper by

several teams.[3] The pictures are between 21 and 22 centimeters high with some being about 48, others approximately 38 centimeters wide.

Japanese traditions of illustrated scrolls can be traced back to the eighth century. While these artifacts were designed to explain Buddhist sutras,[4] the 'Illustrated Handscrolls' are usually considered to be the oldest examples of *Yamato-e* 大和絵 (倭絵), i.e. original Japanese painting divorced from any function other than storytelling.[5] This might be one of the reasons that previous research focused almost exclusively on the paintings. Lippit (2008, p. 52) writes that the "nagging perception of these inscriptions as 'transcriptions' has relegated them to a subsidiary status." However, recent research has taken the relationships between text and picture into deeper consideration (cf. Shimizu 2011) and understands the artifact as a *Gesamtkunstwerk* (Lippit 2008, p. 51) consisting of text (narrative), calligraphy (*kotoba-gaki*/*shisho* 詞書), ornamented paper (*ryōshi* 料紙), and paintings (*e* 絵) (ibid., pp. 52–71).

The fact that the 'Illustrated Handscrolls' passages are excerpts from the original work opens up two avenues of inquiry, namely an investigation of the relationships between the excerpts and 'The Tale of Genji' (selection, omission, alteration) *and* of the relationships between the text as a coherent narrative and the paintings. However, Lippit's subdivision into four components can only serve heuristic intentions. For example, Sano Midori claims that the style of calligraphy itself can express narrative contents. She exemplifies her point with the fifth sheet of paper of the chapter 'Minori' 御法 ('The Law'[6]), which shows a distinctly different style compared to the preceding four sheets. Lines of strong brush strokes are interspersed with lines of thin brush strokes, and some lines are written partly over other lines in a "clustered writing" (*kasane-gaki* 重ね書き) or "tangled writing" (*midare-gaki* 乱れ書き) (Lippit 2008, p. 59). In Sano's interpretation, the style of writing expresses Genji's confusion at the climax of the episode in which he has to watch his beloved wife Murasaki no Ue 紫上 die. Indeed, 'confusion' is one of the first impressions coming to

mind when taking a look at the calligraphy (cf. Sano 2008, pp. 42–43 and for a comparison of all five sheets Shimizu 2011, pp. 86–90).

If Sano’s interpretation is right, this kind of writing can be termed with Eicher and Weimar (1997, pp. 65–67) as semantization of the level of expression (“Semantisierung der Ausdrucksebene”). Other papers, such as the third sheet from the first part of ‘Suzumushi’ 鈴虫 (‘Bell Crickets’), are embellished in such a way that a semantic link with the story or painting is made transparent: grass is painted at the bottom of the sheet, complete with chirping bell crickets; amongst them, the word *suzumushi* (‘bell crickets’) can be read. The calligraphy corresponds to the content of the poems on *suzumushi* (Lippit 2008, p. 58; Shimizu 2011, pp. 66, 69).

The four aspects, text, calligraphy, ornamented paper, and paintings, which Yukio Lippit analyzed individually but using “a holistic method” (Lippit 2008, p. 51), combine to form a unique work of art. Without any doubt, these aspects warrant further exploration. However, since the present paper aims to elucidate the relationships between text and picture regarding the narrativity[7] of both separately as well as in cooperation, it does not continue the “synthetic treatment” (ibid.) but approaches instead from a narratological standpoint. In the present paper, not much can be said about the styles of calligraphy, the quality of the decorated papers, or the characteristics of the *Yamato-e*.[8]

This contribution investigates the excerpt and painting from the handscroll chapter ‘Yomogiu’ 蓬生 (‘A Waste of Weeds’), chapter 15 of the original text (SNKBZ 21: 323–355) and first chapter of the remnant ‘Illustrated Handscrolls.’ The aim is to determine whether a single picture can possess, transmit, or evoke narrativity. In the process, the picture’s relationship to the text has to be taken into account. By answering the question as to whether a painting can express or indicate the passing of time, a certain degree of narrativity can be ascertained. For reasons that have to be displayed later the picture from that specific chapter is particularly well-suited to the investigation of these issues, aside from the fact that it is

the one Shimizu Fukuko (2011) uses to demonstrate the relationships between excerpt and original text and between excerpt and painting.

While Shimizu claims that the reception of the 'Illustrated Handscrolls' does not require knowledge of the literary work, Sano Midori (2001) takes the opposite standpoint. She argues that the familiarity with the literary work is a prerequisite for the comprehensive understanding of the 'Illustrated Handscrolls.' I am going to explore both positions and try to bring them together by scrutinizing the potential narrativity of the painting and the possibilities to visually depict or express the passing of time. Interestingly, Shimizu stresses that, in her opinion, the painting has excluded all elements indicating the passing of time, while Sano attempts to illustrate how the picture is an expression of that very concept. On the basis of these opposed positions, it may be hypothesized that the relevance of previous knowledge and the time factor are connected. It might be said that prior knowledge is the precondition for the possibility of depicting the passing of time.

As I have shown elsewhere, the 'Illustrated Handscrolls' turn out to be an intertextual, intermedial, and intercultural product with dense complexity, which nevertheless allows verifying its numerous references of text and paintings concretely.[9] The excerpts of the remnant nineteen chapters of the 'Illustrated Handscrolls' show different kinds of relationships to the original episodes in The 'Tale of Genji' and the text selections for the excerpts were subject to various criteria and principles such as the number of sheets which the client allotted to the production teams.[10] A comprehensive exploration of all these aspects by far exceeds the scope of a single article, as does the examination of the text-picture relationships and characteristics in general. The present paper is therefore rather to be seen as an attempt to elucidate preconditions and possibilities.

## 2. Text-Text Relationships

The chapter 'Yomogiu' ('A Waste of Weeds'[11]) comprises a narrative calligraphed on four lavishly ornamented sheets of paper (*ryōshi*), accompanied by one painting (the painting held by Tokugawa Bijutsukan can be viewed online; a reconstructed version showing what the colors may originally have looked like is also online). In a first step, the calligraphy was written separately on the four sheets and subsequently combined with the painting. The four sheets together are approximately one meter long, which is about twice the length of the painting. Lippit (2008, p. 54) explains that the excerpts frequently "culminate in an exchange of poetry, with the verse functioning as a highly charged condensation of the narrative." While the assessment of the relationship between narratives and poems seems to be correct, some excerpts do not have a poem and others, such as the one that is the topic of the following examinations, are not accompanied by a poem exchange but by a single poem only. It must be mentioned here, however, that the original chapter of the literary work encompasses a poem exchange, and I am going to come back to the question of whether the omitted exchange affects the episode of the 'Illustrated Handscrolls' as well, and if so, in what way. As already mentioned, the questions crucial to the text of the 'Illustrated Handscrolls' concern their relationships to the chapter of 'The Tale of Genji' regarding selection, abbreviation or omission, and alteration of passages.

Even more important for the *Gesamtkunstwerk* is the relationship between text and accompanying painting. One can assume that if the texts culminate in a poem or poem exchange, the culmination must be detectable in the painting as well. In this respect, the painting from 'Yomogiu' turns out to be a good example, too, even though the excerpt does not provide an exchange. Before delving deeper into the subject, a detailed understanding requires a presentation of text and painting as a whole. Since the text extends over four sheets of paper, Royall Tyler's translations are subdivided accordingly.[12] After an introduction of the translated part

and a comparison with the original episode, I am going to approach the questions as to whether the painting possesses narrativity, and if so, how this narrativity is achieved, by taking a look at the possible expressions of time.

Sheet 1

In the fourth month, he remembered the village of falling flowers and set out quietly [...]. The last light rain was falling after several wet days, and the moon came out at the perfect moment. [...] and he was dwelling in memory on all of that deliciously moonlit night when he passed a shapeless ruin of a dwelling [...].

Rich clusters of wisteria blossoms billowed in the moonlight from a giant pine [...].

Sheet 2

[...] a weeping willow’s copious fronds trailing unhindered across a collapsed earthen wall. I have seen this grove before, he thought; and he recognized His Late Highness’s. [...] Koremitsu was with him on this as on all his secret expeditions. [...]

[omission 1 and 2]

[Koremitsu] entered and roamed about in search of human sounds [...] when by a burst of moonlight he saw two raised lattice shutters with the blinds behind them moving. The idea of

Sheet 3

having found the inhabitants after all actually gave him a shiver of fear, but he approached and coughed politely, to which an ancient voice replied after a preliminary clearing of the throat, “Who is this? Who is there?”

[...]

The voice was weaker and more tremulous now, but he recognized in it an old woman he had heard before.

[omission 3]

[...] They [the women at the window and the lady] seemed all too willing to talk.

“Very well.” [...] “I shall inform my lord.” He returned to Genji.

“What took you so long? [...] Is it only a wormwood waste, and is nothing left from the past?” [Genji asked.]

[...]

Koremitsu described all that he had found.

Genji was quite upset and wondered what it could have been like

Sheet 4
for her all this time amid such thickets. He regretted the cruelty of having failed so far to visit her. [omission 4]
Genji murmured to himself,

*“Now that I am here, I myself shall seek her out through her trackless waste,*
*to see whether all these weeds have left her as she was then”;*

and he alighted after all, whereupon Koremitsu led him in, brushing the dew from before him with his riding whip. “I have an umbrella, my lord,” he said, because the drops from on high recalled cold autumn showers; the dew beneath these trees really is wetter than the rain.” (‘The Tale of Genji,’ trans. Tyler, pp. 308–310)

The clarification of the relationships of the excerpts to the literary work requires the consideration of the passages which are selected, omitted, abbreviated, or re-written. However, Shimizu Fukuko’s analysis encompasses only the excerpt written on the four sheets of the ‘Illustrated Handscrolls’ and not the omitted text preceding and following the corresponding passage in the original episode (cf. Shimizu 2011, pp. 171–172; verified by ‘Genji monogatari,’ SNKBZ 21: 325–355). Tyler’s translation of the chapter of ‘The Tale of Genji’ starts on page 301 and finishes on page 312; the selected section of the ‘Illustrated Handscrolls’ concerns only the passage from the line 12 on page 308 to the first line on page 310. That means that the part chosen covers less than two pages, and when considering the ellipses, not even one page.[13] Other episodes in the ‘Illustrated Handscrolls’ are significantly longer, such as ‘Kashiwagi’ 柏木 (‘The Oak Tree’). It comprises thirteen sheets of paper and three paintings, but the proportions seem somewhat unbalanced since eight sheets of text precede the second painting alone. This unequal division once more proves the fact that a comprehensive understanding of the ‘Illustrated Handscrolls’ as a whole demands an examination of all chapters. Shimizu compares the excerpt with the relevant passage from the original chapter ‘Yomogiu.’ The following shows the omissions and alterations:

Sheet 1

1 In the fourth month, Genji’s memories of the village of falling flowers and his secret outing.
2 Short omission (marked by ‘[...]’) [Genji asks Murasaki for permission to set out.]
3 The last rain after several wet days.
4 Short omission [The moon comes out and brings back memories of the secret outings in earlier days.]
5 Memories in the bright moonlight.
6 Short omission and alteration: The passage through a grove near a ruined residence.
7 Wisteria vines which are hanging from a tall pine tree and swaying gently in the moonlight.

Sheet 2

8 Short omission [The scent of wisteria vines wafting on the breeze brings back sweet memories.]
9 Short omission [As if it were mandarin orange trees (which bring back memories), Genji leans out of his carriage.]
10 A weeping willow’s copious fronds trail unhindered across a collapsed earthen wall.
11 Short omission and alteration: Seeing the grove brings back memories of the old residence.
12 Short omission [Deeply moved, Genji asks to stop his carriage.]
13 Koremitsu is with Genji as on all his secret expeditions.
14 Longer omission 1 [Dialog between Genji and Koremitsu.]
15 Longer omission 2 [Remembrances of Suetsumuhana, the poem.]
16 Omission and alteration: Genji sends Koremitsu to the residence to gather information.
17 Koremitsu roams about and searches for human voices.
18 Short omission [Koremitsu is about to give up and go back.]
19 The moonlight breaks through, and Koremitsu detects movements behind the two lattice shutters.

Sheet 3

20 As he approaches, he can hear the voice of an old lady.
21 Short omission [Koremitsu announces himself, a brief conversation.]
22 Longer omission 3 [Explanations on the situation of the people living in the collapsed residence.]
23 Omission and alteration: Unsolicited Stories by the old woman, Koremitsu goes back to the carriage.

24 Genji asks: “What took you so long? […] Is it only a wormwood waste, and is nothing left from the past?”
25 Omission and alteration: Koremitsu explains the situation.

Sheet 4
26 Genji blames himself for being careless.
27 Longer omission 4 [Genji’s hesitation in going in, Koremitsu tries to hold him back.]
28 A poem by Genji, descent from the carriage.
29 Koremitsu brushes the dew from before him with his riding whip.
30 Falling dew, compared to the cold autumn rain.
31 Short omission [Genji’s clothes get soaking wet.] (Shimizu 2011, pp. 171–172)

After this comparison, Shimizu (2011, p. 174) subdivides the textual omissions into six types. Type A refers to descriptions of the passing of time and the changing of emotions (4, 6, 9, 14). Type B concerns places or events that are not depicted in the painting (2, 12, 15, 21, 22). Type C refers to facts which would contradict the picture (18, 27, 31). Type D and E are omissions of things being impossible to paint (8, 9, 31) and descriptions from another perspective (15, 16, 18, 21, 22, 23), and finally, type F classifies repetitions (4, 11, 25). Furthermore, Shimizu subdivides the elements of the text which are included in the picture or affect the painting into three groups. These are the depicted elements (5, 7, 10, 19, 20, 29, 30), the aspects that are essential to the understanding of the painting (1, 3, 11, 13, 17, 23, 24, 25), and passages supporting the recipients’ understanding of Genji’s motives for moving towards the old residence (5, 26, 28). There is, it appears to me, another type of omission that Shimizu seems to have failed to recognize, namely the pictorial omissions of excerpted text. For example, sheet 1 contains the phrase “the moon came out at the perfect moment,” but a comparison with later paintings of the same scene calls attention to a noteworthy difference between them: the one found in the ‘Illustrated Handscrolls’ does not show the moon.[14] On the other hand, considering that the painting represents a scene taking place at night, the visibility of all the details and the vividness of the colors are

only explicable by the fact that the moon is shining brightly. Furthermore, the open lattice shutters allow a view into a room of the house. It is painted in light yellow colors to represent illumination, which, again, implies a night-time scene. In regard to one of Shimizu's assessments, i.e. the one that Genji's soaking wet clothes (31) were impossible to express in a painting, I have to disagree. Especially the reconstruction of the original colors distinctly shows a slightly darker color at the lower parts of Genji's clothes, which undoubtedly indicates wetness from the contact with the plants, and is detectable even in the remnant painting (cf. NHK Nagoya 2009, p. 27 for the reconstructed painting and Sano 2008, p. 5 or Shimizu 2011, p. 189 for the extant paintings).

## 3. Text and Picture: Taxonomy and Ekphrasis

In his influential examination of the 'Correlations of Japanese Literature and Painting' ('Nihon bungei to kaiga no sōkansei'), Katano Tatsurō (1975, pp. 6–7) establishes four different 'cases' ("baai 場合") of relationships between the two media. The first case is an external combination ("gaibuteki ketsugō 外部的結合") in which text and painting merely coexist ("heizon suru 並存する"). Examples given by Katano include screen paintings with poems written on a piece of paper attached to the screen (*shikishi* 色紙),[15] illustrated handscrolls (*emakimono* 絵巻物), hanging scrolls (*gajiku* 画軸) with painting and text (*san* 賛), or illustrations inserted within prose text (*sashi-e* 挿絵). Katano does not pursue this kind of external relationship any further, but of course, the two media may additionally establish internal links. This is the second type in his taxonomy. His internal combination ("naibuteki ketsugō 内部的結合") encompasses the literariness of paintings ("kaiga no bungeisei 絵画の文芸性"), in which elements of literature are melted into a painting, and the pictoriality of literature (*bungei no kaigasei* 文芸の絵画性), in which literature includes passages that are connected to pictorial elements. Speaking of the *emakimono* as an example of the former type, he maintains,

> The case in which paintings supplement the text and take partial charge of the literary expression or the problem of the consciousness of scene selection when a single [...] picture of an *emakimono* [shows] how a particular view [such as a landscape] is selected from the passages of the original work (literature) [...]. (Katano 1975, p. 7)

The latter type concerns the questions of how paintings influence literature and how the world of literary imagination can carry pictorial associations. Judging from Katano’s examples, the coexistence of the two media is a requirement for the second case, but in the next two cases, text and painting exist separately. The third case deals with the developments of literature and art within a certain age. Even if the appearances are independent, Katano assumes mutual relations such as styles or the reflection of the spirit of the era. A good example is the European baroque style, which shows similarities in architecture, music, and art and is characterized by “ornate detail” (‘Oxford Dictionary of English,’ digital). Finally, the last case assumes that this phenomenon applies to individual artists as well, for example, an artist who is an author of literature and also a painter.

Relevant for the present examination is Katano’s second case, the coexistence of two media as an internal combination. However, since coexistence of this type is further divisible into subtypes, this model alone is not suited to distinguishing painting-text relationships in different media, e.g. the two kinds of handscrolls, the sequential (*renzoku-shiki* 連続式) handscroll and the intermittent (*danzoku-shiki* 断続式) handscroll. In this regard, Manfred Pfister provides a more suitable model:

> 1. Text and painting do not coexist in one work. That is the case when, for example, a poem deals ekphrasticly with a painting or a picture absorbs a literary subject. 2. Text and painting coexist in one work but in separated parts as it is the case with the [medieval] emblem [...]. 3. Text and picture blend mutually, for example when text is written into a painting [...]. (Manfred Pfister 1993, ‘The Dialogue of Text and Image,’ quoted from Rippl 2005, p. 54)

Of course, the intermittent handscroll belongs to Pfister's second type and the sequential one to the third type, but here again, both kinds are just a heuristic measure, and there might be exceptions in both forms.

Let us now take a closer look at the elements of the painting by conducting an ekphrasis. The bottom left corner shows Koremitsu 惟光 going ahead, followed by Genji. Koremitsu reaches out with his right arm and uses his riding crop to brush the dew off the plants. Genji holds an umbrella with his left hand. We can see neither Koremitsu's feet nor Genji's left foot nor the most of his back. It is as if they are stumbling into the frame of the depicted space. The old residence's partly collapsed veranda stretches diagonally from the bottom right corner to the middle of the top edge of the painting. In the top right corner are the two opened lattice shutters and behind the blinds—mere bamboo curtains, which are partially broken and hang askew—can be seen the silhouette of the old women, painted in light yellow colors. The top left corner shows the branches of the pine tree with wisteria vines, and between Genji's umbrella and the branches two willows are painted, done in thin brush strokes and unrealistically small, about the size of the weeds in the center of the painting. Although the text twice mentions the high and dense growth of the weeds, the plants are rather small and grow thinly. Between the weeds the open ground is visible. The weeds take up the center of the picture, and the other elements that are arranged along the edges of the painting and in the corners frame them. Thus it can be said that the 'waste of weeds' is the central theme of the picture.

The word *yomogiu* ('waste of weeds') represents the growth of a plant named *yomogi* 蓬, i.e. Japanese mugwort, *artemisia princepts*, a plant of the daisy family, but the expression *yomigiu* is a *pars pro toto* and not restricted to a single kind. It is important to mention that that these plants grow where they are unwanted. The "shapeless ruin of a dwelling" (sheet 1), the "weeping willow's copious fronds trailing unhindered across a collapsed earthen wall" (sheet 2), and the waste of weeds described in the

prose text and the poem are all not supposed to be in the described condition. They stand in contrast to elements that are where they are supposed to be, to be precise, the pine tree with wisteria vines, the weeping willows, and the inhabitants of the residence. The repeatedly mentioned dew is a universal natural phenomenon, but in classical court poetry, 'dew' (*tsuyu* 露) is a seasonal word restricted to autumn.

On the other hand, while *shigure* 時雨, translated by Tyler as "cold autumn shower" (sheet 4), in court poetry means a 'winter shower,' willow (*yanagi* 柳) and wisteria (*fuji* 藤) represent the spring. One has to ask why it was so important to bring these symbols for different seasons together because their combination produces a semantic overdetermination. Another relevant detail which Shimizu also seems to have overlooked is the phrase "he saw two raised lattice shutters with the blinds behind them moving" (sheet 2) since there is evidence of an attempt to depict the movement of the blinds in the painting as well. I am going to come back to this point, which, however, has to be seen in connection with other depiction techniques used in several pictures of the 'Illustrated Handscrolls.'

## 4. Exclusion of Time

Shimizu begins her explanations of the 'Form of the 'Illustrated Handscrolls" (Shimizu 2011, pp. 168–169) with a short comparison with other medieval pictured handscrolls and reconfirms an important difference. Pictured handscrolls are usually divided into two major types, the intermittent type (*danzoku-shiki*) and the sequential or continuous type (*renzoku-shiki*). In the first type calligraphy and painting are separated distinctly, such as it is the case in the 'Illustrated Handscrolls,' whereas the latter type does not possess distinct dividing lines. In some cases, text and painting are blended, or text appears as frameless insert within the picture, or clouds and fog (*kasumi* 霞) function as a kind of liminal space between written text and painting. Another option is that the whole handscroll comprises one continuous painting with inserted text passages. One

has to keep in mind that during the process of reception at that time only a certain part was visible because the handscroll had to be read from right to left, and to achieve this, needed to be unrolled on the left side while simultaneously being rolled up on the right.[16] In this way of reading, only a limited section is visible at one time, and the handscroll might even possess marks denoting how far the next part has to be unfurled (Ogawa 2010, p. 265). It is essential to consider the differences between these two types as they clearly affect the expression of time. Shimizu writes:

> [...] illustrated handscrolls [of the sequential type] present the paintings on a big screen, and it occurs that this screen includes things that [show the passing] of time such as *iji dōzu* 異時同図 [literally 'different time, same painting'] etc. In contrast to this 'sequential type,' the 'Illustrated Handscrolls,' which [in one picture] show just one single emotional landscape (*ichi jōkei* 一情景) from the tale and almost do not include any flow of time, take the form which is called the intermittent type. (Shimizu 2011, p. 168)

'Emotional landscape' (*jōkei* 情景) is a common and convenient term to refer to the paintings of handscrolls but its meaning is usually not explained. In this passage Shimizu still writes '*almost* no time,' and she goes on to quote two scholars who claim that some paintings in the 'Illustrated Handscrolls' 'express skillfully the passing of time' (ibid.) although it belongs to the intermittent type. Both scholars refer particularly to the painting from 'A Waste of Weeds.' However, Shimizu mentions their stance purely as a means to lead up to her argumentation in support of the opposite opinion. After the examination of the links between the excerpt and the original text as well as between the excerpt and the painting, which was described above, she concludes that the painting only contains elements such as 'Genji, Koremitsu (riding whip), the umbrella, the weeds, and things that do not change in time such as the broken residence, the rain, the moonlight, the pine trees, the wisteria, the old woman, and the bamboo blinds.' The text of the excerpts depicted in the painting presents 'exclusively visible things' and contains 'only things that stopped moving in time' (Shimizu 2011, p. 174).

This notion is questionable enough. The remark that the broken residence, the old bamboo blinds, and especially the courtyard are 'things that do not change in time' is hardly tenable. On the contrary, they function as symbols for transience and represent conditions which are different from those in the past: the residence used to be in a good state of repair, the blinds unbroken, and the courtyard free of wildly growing things. These elements might be one of the reasons why the scholars quoted by Shimizu chose to build their claim of the visual expression of time on this particular painting. Contrary to Shimizu's standpoint, Sano Midori (2008, p. 91) asks rhetorically whether the paintings of the 'Illustrated Handscrolls' indeed show a 'world where the time is fixed.' As already mentioned, Sano also claims that the previous knowledge of the literary original is a condition *sine qua non* to understand the 'Illustrated Handscrolls.' Once again, the arguments by both scholars point to the assumption of mutual dependence between the two aspects time and prior knowledge.

Before coming back to these points, another aspect has to be mentioned. Shimizu (2011, p. 176) regards the complete omission of olfactory descriptions as the deciding difference between the 'Illustrated Handscrolls' and the corresponding passage of the literary work. That is an important observation because it seems to be difficult, if not impossible, to express scents and fragrances in paintings. However, they might be said to be implied since the pine tree and wisteria vines are elements of the painting, and without any doubt, their fragrance is deeply rooted in Japanese cultural memory as is the very combination of pine trees and wisteria vines. It is in fact the object of many *waka* 和歌 poems, and indeed—as the picture under discussion indicates—pine trees were components of many gardens as well.[17] Besides, the image of the scent of pine trees carried by the wind is another motif of classical poetry.[18] If a literary text can evoke a synesthetic impression, a painted picture possibly can do so as well. Nevertheless, Shimizu's observation is correct in so far as the excerpt deliberately excludes any explicit notions of fragrance and scent, which

are conspicuous in the original chapter. Therefore, one can assume that an additional function is intended for the painted pine trees and wisteria vines.

## 5. Vectors of Time

To explore the narrative structures of *monogatari* (‘tale’) and painted picture, Sano Midori devises a complex model. Especially helpful for the present study is the inclusion of time. Another component of the model is *suji* 筋, literally muscle, tendon, or string, which Japanese narratological discourses use as a metaphor for plot or storyline. Sano (2001, p. 3) explicates *suji* as a chain of events or incidents (*dekigoto* 出来事), and *dekigoto*, on the other hand, is something that has occurred (“okotta koto 起こった事”) as well as something that is expected to happen, something anticipated (“kitai sareta koto 期待された事”). Consequently, *monogatari* brings time ‘in front of our eyes’ and storytelling, as well as reading, is nothing else than the experience of time. Sano’s explanations are detailed and not always easy to follow. Crucial for the present observations are the two directions of time which she describes, metaphorically, as vectors. These two vectors have their point of origin in the painting, and while one stretches into the past, the other one is heading into the future. The former is carried by remembrance or memory, the latter directed by expectation or anticipation.

Sano ascribes this time structure not only to the narrative but to the reception of an illustrated handscroll as well. That recalls Günther Müller’s double-time structure consisting of *erzählte Zeit* (‘narrated time’), the time during which the story takes place, and *Erzählzeit* (‘narrating time’), the time that it takes to recount the events (Müller 1968, pp. 247–268).[19] The handscrolls have to be read from right to left in an active process that needs time and involves the body while the narrative is unfolding in time, too.[20] Consequently, the reception of the handscrolls means to follow its ‘time axis [...] right = the past, left = the future’ (Sano 2008, pp. 90–91).[21]

The narratives of sequential type handscrolls do not only unfold to the left with regard to time. Depicted actions and movements are usually directed to the left, too: 'the directionality of action [*kōdō* 行動, also 'activity' etc.] from right → left.' In contrast to the painting of the sequential type handscroll, which can consist of one long screen with inserted text, the paintings of the 'Illustrated Handscrolls' are each restricted to one single sheet of paper that is divided from the text and easy to grasp in one glimpse. Therefore, time does not seem to be an important factor, and Sano explains the common opinion that the 'emotional landscape' of the painting of the intermittent type handscroll depicts 'a world being at rest which in principle does not include the unfolding of time.' Although the viewer of the painting needs time to realize and enjoy the details and to combine them with the information from the previous text within the relatively small format of the painting, the depicted emotional landscape is brought into 'explicit present tense.' However, Sano does not agree with this established opinion. She maintains that by gazing at the painting and connecting it to the preceding narrative, the elements of the painting 'jump over' the boundaries of present tense. The viewers, Sano continues, realize the chronology of what has happened before and what might follow, and the process of reception lures their minds into the flow of time within the tale (*monogatari*).

What Sano describes as 'jumping over' the boundaries of the present tense corresponds to her concept of vectors reaching into the two different directions of time. Both explanations she exemplifies with the painting from 'A Waste of Weeds,' and in this respect, the most relevant part from the preceding text is the following passage:

> Rich clusters of wisteria blossoms billowed in the moonlight from a giant pine [...] a weeping willow's copious fronds trailing unhindered across a collapsed earthen wall. I have seen this grove before, he thought [...]

Genji notices the pine tree and willows from his carriage window, and their sight triggers his memories of the old times. The plants, which thus

function as a memory cue, evoke in him a desire to enter the residence's court and to move through the wet weeds towards the partly collapsed house of Suetsumuhana 末摘花, the woman he used to visit there in the past. The pine tree with blooming wisteria and the willows function as what Sano describes as a vector reaching back into the past. Similarly, the waste of weeds that are not supposed to grow there, the old and damaged residence, which was in much better condition in the past, and the old woman in the window, who was once younger, too, are nothing else than points of origins of vectors reaching into the past. We have to keep the first sentence of the whole passage in mind—"In the fourth month he remembered the village of falling flowers and set out quietly"—to realize that remembrance might be the leitmotiv of the whole passage. That much is clear even for a reader without knowledge of the original work, but it is only the reader who possesses knowledge of the previous chapters in 'The Tales of Genji' who can establish appropriate connections (see chapters 6 'Suetsumuhana' 末摘花 ['The Safflower'] and 11 'Hanachirusato' 花散里 ['Falling Flowers']). So far, Sano's hypotheses are convincing, but what about the other vector reaching into the future? In her earlier article, Sano writes that the 'Illustrated Handscrolls'

> are not an object addressing a reader who has not read [the whole literary work]. That means that they expect a reader who knows 'The Tale of Genji' very well and therefore can take delight in the way how the text is converted into illustrated handscrolls and how the world of the narrative is visualized. (Sano 2001, p. 7)

For a reader who does not possess detailed knowledge of 'The Tale of Genji,' i.e. the reader Shimizu Fukuko has in mind, the painting contains only vectors pointing obscurely into the past. In contrast, for a recipient who knows what is going to happen at the end of the encounter between Genji and Suetsumuhana, the future is involved as well, and the vector pointing into that time direction is also represented by the branches of the pine tree and the wisteria blossoms. Thus, the pine with wisteria flowers is

not only a memory cue for past events but also a memory cue for future events. Tyler translates the passage at the end of the encounter, which is not included in the ‘Illustrated Handscrolls’ and which comprises the poem exchange, as follows:

> The pine on her grounds had not been intentionally planted, but it touched him by the height it had reached over the years, and his musings of life’s dreamlike quality moved him to say,
>
> *“What so caught my eye, when the rich wisteria tempted me to stop,*
> *was your pine that seemed to speak of someone pining nearby.”*
>
> So many years have passed [...]. I gather that you have no one but me to hear you complain of the suffering you have borne, season by season, through the years. It is so strange, you know.”
>
> *“Year after long year I have pined, always in vain—are those flowers, then,*
> *all that made you look this way and at last notice my home?”*
>
> she replied [...]. (‘The Tale of Genji,’ trans. Tyler, pp. 310–311; footnotes omitted)

In the footnotes, Tyler explains the allusion to a poem from the *waka* anthology ‘Gosen wakashū’ 後撰和歌集 (‘Later Collection of Japanese Poems,’ 951–958), and his translation brings the play on *matsu* まつ with the double meaning ‘pine’ (*matsu* 松) and ‘to pine’ (*matsu* 待つ) perfectly into English. By reading the expression “season by season” (*haru-aki no kurashi* 春秋の暮らし), literally the passing of spring and autumn in circular time (SNKBZ 21: 351), one finally understands also the semantic overdetermination that results from the textual and pictorial representation of three different seasons. The depiction of a garden with seasonal elements, which is a crucial part of several paintings of the ‘Illustrated Handscrolls,’ is an essential index of the passing of time, in this case not linear but circular time (Wittkamp 2014b, p. 159). However, the painting’s references to the poem exchange, which are thus also references to the future, are only understandable to a reader who possesses knowledge of the original work.

## 6. A Typology of Potentially Narrative Paintings

In his examination of the excerpted texts, Yukio Lippit discusses some aspects of the chapter 'Yokobue' 横笛 ('The Flute') and comes to the following conclusion:

> For viewers unfamiliar with *The Tale of Genji*, the passage and its accompanying painting indicate nothing more than a purely domestic slice of daily life, a genre scene from an important work of literature. For viewers familiar with the tale, however, the excerpt reverberates with the aftermath of Yūgiri's dream sequence. [...] Small details from the excerpt included in the painting [...] take on an added significance. [...] The beginning of the "Yokobue" excerpt is located so precisely, therefore, that it establishes a stratigraphy of levels of engagement with the passage, depending on the reader's degree of familiarity with the parent text. [...] The precise moment at which the excerpt ends is no less significant. (Lippit 2008, p. 55)

Besides the different contents of the chapters discussed by Lippit, his conclusions are relevant to the episode 'Yomogiu' as well and, what is more, corroborate Sano's assumption that the 'Illustrated Handscrolls' demand a reader who possesses knowledge of the original narratives of 'The Tale of Genji.' Lippit, however, implies that the lack of previous knowledge does not equal an inability to enjoy the handscroll chapters as separated narratives, regardless of their representing only slices of daily life. The problem of previous knowledge is not restricted to the literary work but involves the whole cultural and educational background of the readers of that time. Within the boundaries of this paper, the implications cannot be discussed in sufficient detail; it would require a far-reaching consultation of cognitive narratology. Instead, the final section of the present contribution introduces a different approach to the painting with the aim to add some more concepts to the 'tool-bag' and to enable the paintings' appropriate observation concerning the problem of time. Moreover, these tools or concepts can help to elucidate the narrativity of the painting in 'Yomogiu' depending on the conditions and possibilities of reception.

Since the remnant 'Illustrated Handscrolls' comprise nineteen paintings, the problem of possible relationships does not only concern the individual excerpts but the other pictures as well. A model that sheds light on these problems is Werner Wolf's typology of potentially narrative paintings (see Wolf 2002, pp. 53–57 and for a summary of Wolf's model, as well as all aspects mentioned in the present section, Wittkamp 2014b, pp. 123–128). The first of his distinctions concerns picture series (*Bildserien*) such as manga or comics, and single paintings (*Einzelbilder*).[22] Picture series can depict a single continued action or several actions carried out by one, two, or by several actors. Wolf subdivides the term 'strands,' which corresponds to Sano's *suji*, into mono-strand (*einsträngig*) and poly-strand (*mehrsträngig*) picture series respectively (see the model in Wolf 2002, p. 56).[23] In respect of the single paintings, he distinguishes the mono-phase single painting (*Monophasen-Einzelbild*) from the poly-phase single painting (*Polyphasen-Einzelbild*). The mono-phase single painting is usually the case with paintings in which time seems to be 'frozen,' i.e. the depiction of a single moment. Wolf illustrates the latter giving an example from European arts, but examples of this type are found in Japanese handscrolls as well. The second scroll (*maki* 巻) of 'Shigisan engi emaki' 信貴山縁起絵巻 ('Illustrated Handscroll of the Foundation of Mount Shigisan') from the later twelfth century, for instance, which belongs to the sequenced type, comprises a single painting in which the same actor appears in five different positions. As already mentioned, this technique is known as *iji dōzu*, literally 'different time, same painting.'

Conversely, the technique repeatedly depicting the same character in front of different sections of the same background—such as a mountain chain, hinting at the character's movement—is known as *hanpuku byōsha* 反復描写, literally 'repeated depiction,' and the 'Shigisan engi emaki' provides examples for this type as well (for *iji dōzu* and *hanpuku byōsha* see Sakakibara 2012, pp. 120–121). Once again, it is crucial to keep in mind

the fact that during the reception of the handscroll, i.e. the process of unrolling the left side and rolling up the right side, only a restricted part is visible. Therefore, the description as *hanpuku byōsha* only applies to these relatively narrow sections of sequenced handscrolls but not to the handscrolls in their entire lengths, the way they are usually displayed in museums, which, of course, would turn almost every sequenced handscroll into the *hanpuku byōsha* type.

Keeping these differences in the mind, the nineteen individual paintings of the ‘Illustrated Handscrolls’ should be considered mono-phase single paintings, whereas all of them together form a poly-strand picture series. The fact that the paintings belong to the same set of handscrolls necessitates that readers connect them in accordance with their reading memory.[24] It would be intriguing to reveal the pictorial relationships between the nineteen remnant paintings. An interesting question would be, for example, how recurrent characters such as Genji or the ladies-in-waiting are made to be identified as the same characters although their faces consist only of *hikime kagibana* 引目鉤鼻, i.e. the stereotypic single brush strokes for the eyes and noses characteristic of *Yamato-e* (cf. Wittkamp 2014b, pp. 151–152, 157–160). This, however, goes beyond the scope of the observations discussed here.

The question I would like to address next concerns Sano’s two vectors heading into the two directions of time. Wolf discusses these problems as well and brings another vital concept to bear: the pregnant moment (*prägnanter Augenblick*, Wolf 2002, p. 70), i.e. a moment full of meaning. This concept, which might go back to Gotthold Ephraim Lessing’s *fruchtbarer Augenblick* in his famous essay ‘Laocoon: or, The Limits of Poetry and Painting’ (1766, first English translation 1836), can be understood as the vertex of an action strand that contains hints of the immediately preceding and following actions. Therefore, Sorensen (2012, p. 10) explains the term as “the narrative impulse of the painting.“ The painting in the chapter ‘Yomogiu’ provides a perfect example with the depiction of

Genji and Koremitsu whose movements are, as we have seen, frozen in the moment of entering the depicted space. It shows how minimal the range of time is. However, in this case, references are made beyond the immediate past and future, i.e. Genji putting his foot on the ground and Koremitsu hitting dew off the weeds. The reader without knowledge of the original work will at that point have obtained sufficient information from the previous excerpt to understand how the situation came to be, while the reader who possesses knowledge of the original work will additionally know what is going to happen after Genji and Koremitsu arrive at the old residence.

Consequently, the range of the pregnant moment differs in both directions—past and future—according to the extent of prior knowledge. Without any previous knowledge, this pregnant moment and its hints of past and future cover only a short period of time. The same is true for other elements of the painting, such as the blinds and the branches of the willow, which seem to be caught in movement, too.[25] At the end of his typology of potential narrative paintings, Wolf concludes that

> [s]ingle-phase paintings alone cannot be narrative in the meaning of presenting a story. At best, they indicate a story from a [single] plot-phase [*Plot-Phase*]. Therefore, the grade of narrativity is relatively low. (Wolf 2002, p. 73)

Nevertheless, Wolf attests a general tendency to read single-phase paintings as narratives, but he does not consider that a mere result of cognitive scripts (*kognitive Schemata*). A single-phase painting such as the painting of 'A Waste of Weeds' contains elements which Wolf calls 'stimuli' (ibid.) and which become accessible only through the inter- and transmedial references of the depicted elements to the vernacular narrative preceding the painting.[26] In other words, the reader who possesses previous knowledge has access to more stimuli, and, as a result, the degree of narrativity of the painting increases.[27] The narrativity of paintings depends on cognitive scripts such as reader memory and reading memory as well as on stimuli. These observations can be combined with Sano's assump-

tions. To elucidate the inter- and transmedial references, her concept of vectors may serve as a supplement to the idea of the pregnant moment since the time range of a vector is longer. Pregnant moments such as the pitcher in a manga panel who is just about to deliver the ball to the catcher can be detected from the painting alone, but the identification of a possible vector of time requires previous knowledge.

The application of concepts such as cognitive scripts, frames, or stimuli to Japanese handscrolls leads to the assumption that the title alone, here 'Genji monogatari emaki,' raises expectations of a specific type of narrative medium. As we have seen, however, the narrativity in Shimizu's and Sano's readings differs significantly, and a final remark has to address this problem again. Lippit (2008, p. 56) writes that it would be interesting to scrutinize the question of how "readers bridge the empty space between neighboring excerpts." The remnant handscrolls contain blocks of connected chapters from 'The Tale of Genji,' but even within these blocks, almost no narrative connections, such as causal or temporal links between the episodes, are detectable.[28] Cognitive narratology explores the hermeneutic interplay between top-down (frame-determined) and bottom-up (data-determined) narrative activities,[29] i.e. previous knowledge, education, or cultural background serve as frame, and information from the text as data. It seems realistic to conclude that the greater the top-down connections, the greater the degree of narrativity of the 'Illustrated Handscrolls.'

To borrow once again the two concepts from recent research on television narratives, one could say that Shimizu reads the 'Illustrated Handscrolls' as a series, whereas Sano reads them as a serial. Sarah Kozloff defines:

> *Series* refers to those shows whose characters and setting are recycled, but the story concludes in each individual episode. By contrast, in a *serial* the story and discourse do not come to a conclusion during an episode, and the threads are picked up again after a given hiatus. (Kozloff quoted from Allrath [et al.] 2005, p. 5)

The information received from the individual chapters of the 'Illustrated Handscrolls' is insufficient to lead to a connected and coherent narrative. Consequently, the conversion from 'The Tale of Genji' does not only perform transmedia storytelling but a transformation from a serial to a series as well. Taking this distinction exclusively as a modern phenomenon would be a misunderstanding. As narratological approaches to medieval literature in German studies have proved, storytelling in the series form was common in the European Middle Ages,[30] and remarkable milestones in Japanese literature such as the 'Ise monogatari' 伊勢物語 ('The Tales of Ise,' 10th c.) or Matsuo Bashō's 松尾芭蕉 (1644–1694) 'Oku no Hosomichi' おくのほそ道 ('Path through the Deep North,' 1694) show comparable patterns of storytelling.[31] It is very likely that in the twelfth century, when the 'Illustrated Handscrolls' were manufactured, the series pattern was part of the frames (top-down) of the contemporary readers. Comprehensive narratological examinations of these connections and relationships remain an intriguing objective for future research.

## Notes

1 Lippit (2008, p. 49) translates the title as 'Genji Scrolls.' The abbreviated title is attractive but lacks the information 'illustrated' and might cause confusion.

2 The Tōkyō National Museum (Tōkyō Kokuritsu Hakubutsukan 東京国立博物館) preserves another painting from the chapter 'Wakamurasaki' 若紫 ('Young Murasaki') (cf. Sano 2008, p. 84). Also, there are fragments which were "cut out of the original scrolls for inclusion in calligraphy albums" (Lippit 2008, p. 52).

3 Sano (2008, pp. 86–87) distinguishes between five variants (*rui* 類).

4 Famous is the eighth-century scroll referred to as 'Kako genzai inga-kyō emaki' 過去現在因果経絵巻 ('The Illustrated Sutra of Cause and Effect,' cf. Sorensen 2012, pp. 45–47), in which Murashige (2012, p. 20) sees the origin not only of *emakimono* (illustrated handscrolls) but of *Yamato-e* (paintings in Japanese style) as well.

5 Lippit (2008, p. 63) considers the label *Yamato-e* rather meaningless. For "small-scale paintings," such as those found in the 'Illustrated Handscrolls,' he sees the term "women's picture" (*onna-e* 女絵) as "more appropriate." Howev-

er, neither do the paintings show only women, or more women than men (besides *nyōbo* 女房, the women who served at court), nor is the identity of the artists clear. The term, which is as questionable as *onna-de* 女手 (‘female hand’), a synonym for *hiragana* 平仮名 phonographs of the Heian period (794–1185), could be the basis of a case study in the field of gender studies.

6 All translations of the chapter titles are by Royall Tyler (‘The Tale of Genji’ 2003).

7 The term narrativity is used here to refer to “the quality or condition of presenting a narrative” (‘Oxford Dictionary of English,’ digital edition). For a comprehensive overview see Abbott 2011.

8 For analyses of the original colors, papers, the used materials, painting techniques, *Yamato-e* characteristics, perspectives, etc., and reconstructed paintings see NHK Nagoya 2009, for calligraphy and paper see also Sano 2008, pp. 42–45. The reader without access to works written in Japanese is referred to Lippit’s article.

9 Cf. Wittkamp 2014b, pp. 78–102, 128–177. To give examples: the original chapter ‘Kiritsubo’ 桐壺 (‘The Paulownia Pavilion’) tells of the mourning emperor looking at pictures showing scenes from the Chinese epic poem ‘Changhenge’ 長恨歌 (Japanese ‘Chōgonka,’ 806) by Bo Juyi 白居易 (Haku Kyoi, 772–846). The painting in the first part of ‘Azumaya’ 東屋 (‘The Eastern Cottage’) in ‘Illustrated Handscrolls’ shows a group of ladies-in-waiting: one of them is reading a text while another one is looking at a sheet of paper with landscape paintings. Behind the reading lady are sliding paper doors with landscape paintings. The left side of the ‘Yokobue’ 横笛 (‘The Flute’) illustration shows another sliding door with paintings, and there is a discussion about whether the depicted landscape is of Chinese or Japanese origin (see Naruse 1989, pp. 50–53 and for the reconstructed paintings NHK Nagoya 2009, pp. 18–19, 30–31). Katano (1975, pp. 5–6) asserts that poetry and *Yamato-e* (‘Japanese-style painting’) are firmly tied together, and the same applies to the relationship between *monogatari* prose literature and *waka* 和歌 poetry.

10 For a general survey of the relationships between the original chapters and the excerpts of the ‘Illustrated Handscrolls’ see Lippit 2008, pp. 52–56.

11 Washburn translates the chapter title as “A Ruined Villa of Tangled Gardens” (‘The Tale of Genji,’ 2015, p. 340), but Tyler’s translation ‘A Waste of Weeds’ is closer to the original and, as shall be shown soon, seems to better fit the central theme of the painting.

12 The original text, which consists exclusively of *hiragana* phonograms, has been omitted here. For analysis and presentation of the texts on the four sheets refer to Shimizu 2011, pp. 12–17.

13 The original text in SNKBZ 21 comprises pages 325 to 355, including headnotes and translation into modern Japanese. The ‘Illustrated Handscrolls’ excerpt concerns pages 344 to 348.

14 Picture No. 78 in ‘E-iri Genji monogatari’ 絵入源氏物語 (‘The Tale of Genji with paintings’) by Yamamoto Shunshō 山本春正 (1610–1682) presents the same scene but with distinct differences. The upper part of the woodblock print shows clouds, but one part has broken up and reveals the clear sky with a crescent moon (see Kobayashi/Sen 2013, p. 282). However, a sickle moon like this one does not shine brightly enough to put the whole scene into a resemblance of daylight as is the case in the painting from the ‘Illustrated Handscrolls.’

15 For examinations of the possible relationships between screen paintings (*byōbu-e* 屏風絵) and screen poems (*byōbu-uta* 屏風歌) see Sorenson 2012 and for an introduction Bowring (1992, pp. 410–412), who discusses three “various ways in which such a poem might relate to a picture.”

16 It can be misguiding when museums or book illustrations present the handscrolls unrolled completely. Sometimes, they are too long for the display cabinet and therefore not wholly unrolled, which can cause disappointment among visitors. Not only is the effect the handscrolls have on the viewer different, but the characteristics of the handscrolls may change as well.

17 The imperial garden in Heijōkyō 平城京, the Japanese capital from 710 to 784, was called Shōrin’en 松林園, literally ‘Pine Grove Garden’ (Ueno 2000, p. 23).

18 For example, see ‘Man’yōshū’ 萬葉集 (‘Collection of Ten Thousand Leaves,’ compiled in the second half of the 8th century) poem No. 1042 and the explanations in Wittkamp 2014a, p. 98.

19 Previous to Müller, Thomas Mann had already described “zweierlei Zeit” in his novel ‘Der Zauberberg’ (‘The Magic Mountain,’ 1924) (Martínez/Scheffel 2016, p. 33). Seymour Chatman (1990, p. 9) describes the phenomenon as “chronologic” and “doubly temporal logic.”

20 Incidentally, in the ‘Illustrated Handscrolls,’ story and plot unfold together. There are no analepses or prolepses. A comparison with the original work concerning these aspects seems to be promising.

21 The illustrations given by Sano show examples for the two different types of handscrolls and a drawing of someone reading a handscroll by rolling up the right side and unrolling the left side.

22 My translation of Wolf's concepts considers the distinction between series and serials, a differentiation commonly made to distinguish narratives strategies in television storytelling (cf. Allrath [et al.] 2005, pp. 5–6).

23 Wolf (2002, pp. 58–70) exemplifies the mono-strand picture series with William Hogarth's 'Marriage A-la-Mode' (1744), and as an example of a poly-strand picture series, he refers to the *tapisserie* 'La Tenture de Saint Rémie' from the early sixteenth century.

24 Reading memory (*Lesegedächtnis*) means the memory which a reader develops during the actual process of reception. The concept must be distinguished from reader memory (*Lesergedächtnis*), i.e. previous knowledge, education, experience, or cultural background (Humphrey 2005).

25 A remarkable example of this frozen dynamic is the painting in 'Minori' ('The Law'), the last one of the extant handscrolls. The autumn plants, which cover almost half of the painting, and the blinds at the windows are being moved by a strong wind. The blinds are the border between garden=movement and the inner part of the building=no movement, and they thus represent the liminal space between movement and standstill. The symbolism is connected to the central theme of the painting, the death of a woman, which can be understood as another liminal space (NHK Nagoya 2009, pp. 44–45; Wittkamp 2014b, p. 155).

26 For examples of stimuli see Wolf 2002, pp. 43–53. Examples from Japanese literature are the opening phrase *ima wa mukashi* いまはむかし ('once upon a time') in classical storytelling literature (*monogatari*) or the word *monogatari* in the titles of these works such as in 'Taketori monogatari' 竹取物語 ('The Tale of the Bamboo Cutter,' early 10th c.). Wolf explains that the application of cognitive scripts and frames (*Rahmen*) relies on these stimuli (ibid., p. 43).

27 The basis for Wolf's analyses of the scalability of narrativity (cf. Wolf 2002, p. 38) are the so-called 'narrems,' the smallest units of narrativity and narrativeness (cf. ibid., pp. 37–51).

28 A reconstruction of the remnants reveals the blocks of chapters belonging together, to be precise, chapters 15, 16, 36 (3 paintings); 37, 38 (2 paintings); 39, 40, 44 (2 paintings); 45, 48, 49 (3 paintings); 50 (2 paintings) (cf. NHK Nagoya 2009, pp. 138–144). Not included are the fragments of excerpts which survived only partially and are without paintings (chapters 5, 17, 18, 19, 20, 26) and the painting of chapter 5, which is without excerpt (cf. Sano 2008, p. 123). While passing time is an absolute condition for a narrative, the problem of causality is discussed controversially (cf. Martínez/Scheffel 2016, pp. 113–125).

29 The two concepts by Manfred Jahn are quoted from Zerweck 2002, p. 221; for an introduction to cognitive narratology see also Martínez/Scheffel 2016, pp. 169–173.

30 Of course, the terminology is different, and Haferland and Schulz (2010, pp. 8–11) speak of ‘paradigmatical-metonymical storytelling.’

31 Gabriele Rippl (2005, pp. 25–26) distinguishes pictorial from ekphrastic representations, and the distinction is relevant for the reception of the ‘Illustrated Handscrolls’ as well. Since the medium is an *emaki*, an illustrated handscroll, the reader is pre-adjusted to expect paintings, and the process of reading the text is a pictorial reading, which already evokes a picture in the reader’s mind. However, it is also possible that the text is a kind of ‘preceding ekphrasis,’ and an interesting aspect of the reception could be the question of how the succeeding painting fits the cognitively produced image. On the other hand, a reception of the text after taking a look at the painting would turn it into an ekphrasis, but the pictorial character of Japanese poetry—the importance of landscape poetry—has to be considered as well. For the relevance of ekphrasis in Japanese arts see Sorensen 2012, pp. 1–12. The Japanese aristocrats were familiar with this dual nature of written narratives from poetry as well. A poem could be a *byōbu-uta* (‘screen poem’) painted on a screen or assembled under this category in a *waka* anthology, but the same poem could also be submitted to a poem contest (*uta-awase* 歌合) without any references to a screen. The former would be ekphrastic, the latter pictorial (Wittkamp 2014b, p. 52).

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### Abbreviations

SNKBZ Shinpen Nihon koten bungaku zenshū 新編日本古典文学全集

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